

# Creative Education

## *Advances in Education Sciences, Volume 13*

This book collects selected and revised papers from 2017 The 3rd International Conference on Creative Education (ICCE 2017). 68 revised papers were carefully selected and presented in the book from 221 submissions with an acceptance rate of 30.8%. Specifically, this book comprises the following topics: 1) Creative Education, 2) Teaching Research and Training, 3) Social Sciences and Culture, 4) Language and Literature, 5) Sports Physiology, 6) Economy and Law.

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# **Advances in Education Sciences**

## **2017 3rd International Conference on Creative Education (ICCE 2017)**

**March 3-4, 2017, Kuala Lumpur, Malaysia**

*Edited by*

**Bin Zhang**

**Co-sponsored by Singapore Management and Sports Science  
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## **ICCE 2017 Preface**

The 3rd International Conference on Creative Education (ICCE 2017) will be held on March 3-4, 2017, Kuala Lumpur, Malaysia. ICCE 2017 is co-sponsored by Singapore Management and Sports Science Institute, Singapore and Academic Conference Institute, USA. ICCE 2017 is also technical co-sponsored by City University of Hong Kong, Hong Kong.

Aimed to bring together several experts, researchers and scientists from around the world to share their research and development experiences in the field of education, ICCE 2017 will be the most comprehensive conference focused on the various aspects of education.

The series of ICCE conferences have organized since 2013. 2013 1st International Conference on Creative Education (ICCE 2013) was launched on September 21-23, 2013 in Singapore and 2015 2nd International Conference on Creative Education (ICCE 2015) was held on June 27-28, 2015 in London, UK. ICCE 2013 and ICCE 2015 conference papers have been indexed by Web of Science Conference Proceedings Citation Index - Social Sciences and Humanities (CPCI-SSH).

In ICCE 2017, 221 research papers were submitted. All submitted papers were pre-screened for conformity with submission guidelines and for overall appropriateness and then each paper was double-blind reviewed by three PC members. In the end, 68 papers were accepted yielding an acceptance rate of 30.8%. All accepted papers of ICCE 2017 will be published in *Advances in Education Sciences* (ISSN: 2339-5141) by Singapore Management and Sports Science Institute. Technical papers published in the conference will cover the following areas:

Chapter 1: Creative Education

Chapter 2: Teaching Research and Training

Chapter 3: Social Sciences and Culture

Chapter 4: Language and Literature

Chapter 5: Sports Physiology

Chapter 6: Economy and Law

We are thankful to all those who submitted papers for consideration. We are also very grateful to those colleagues and organizations that help us in organizing the conference. In particular, we would like to thank the members of the ICCE program committee which we hope will offer their help again in organizing the next year's conference. We would also like to thank Singapore Management and Sports Science Institute, Singapore and Academic Conference Institute, USA for managing all aspects of the conference.

ICCE 2017 Committee









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# **Chapter 1:**

## **Creative Education**





# Sunset Dawn: Building a Coherent Global Frame for a Creative Approach to Education thru the Celebration of a Festival of Light

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**Keywords:** Festivals; Connectivity; Creativity; Light; Consciousness; Media technology.

**Abstract.** The Sunset Dawn is an arts and media festival connecting cities and locations where the sun is setting to cities and locations across the globe where the dawn is breaking. Media links such as Skype, webcams and online streaming create a unique frame to celebrate the planet and the humanity we share in a global festival of music and dance, drama, literature and the visual arts. This paper outlines the history of the festival, and shows how the thinking behind it can serve as a model for a creative approach to education, academic inquiry and research that mirrors our awakening global consciousness. The paper closes by suggesting how the project can complement and enhance some of the major global initiatives of our time.

## 1. Introduction

For all the *eureka* moments and ideas and inventions that have changed the course of history, *creativity* itself has proved to be an elusive concept to define and to distinguish from other mental faculties such as ideation, imagination, memory and general intelligence. What is the source of a stream? As a teacher, poet and songwriter myself I take a holistic view, and rather than aiming to define, prefer to consider how to foster creative thinking within a healthy and balanced approach to education that opens fresh interdisciplinary perspectives and casts light across the curriculum.

With the help of media technology we can now watch the sun rising across the globe as it is setting before our eyes – and vice versa. This creates an ideal opportunity for a festival that enhances our awakening sense of the planet we share. To this end I launched the Sunset Dawn in June 2011 as a midsummer festival linking the sunset over Liverpool to the dawn breaking over Shanghai and the Asia Pacific. It was held again in Liverpool in 2012 and 2013, then, following my move to Northwestern Polytechnical University (NPU) Xi'an, it has been held each June at NPU with links to the dawn breaking over the Americas. The history, aims and ethos of the project are outlined in more detail in my paper *Connecting the hemispheres, minding the globe*.<sup>[1]</sup>

## 2. Festivals as a context for learning, discovery and transformation

The celebration of festivals thru the year helps to give meaning and rhythm to our lives, and for educational purposes festivals offer a creative focus that can complement the curriculum at all levels. In this section we will consider how the Sunset Dawn fosters a creative approach to education by providing an inspirational frame with an ever shifting web of connexions as the Earth and sun progress thru their diurnal and seasonal cycles, and by stirring the mind thru art to explore the ever deeper layers of meaning in the world around us, and in our own lives.

## 2.1 A frame to inspire creativity

“As you gaze into the sunset, where across the globe will that sun now be rising? And who might now be gazing into the dawn?” The thinking behind the Sunset Dawn begins with these questions – relating to the Earth’s physical and human geography respectively. Thru media contacts with other schools/universities across the globe, and a Sunset Dawn festival as a goal to aim for, the questions then become: “What gifts do we have to offer? And what do we have to learn from each other?” These questions naturally inspire creative thinking within a balanced and coherent overall frame.

Perhaps the first question to consider on the part of the organizers is where and when to stage the festival. Both the Liverpool and Xi’an festivals have been held on Fridays close to the June solstice to take advantage of midsummer sunsets with the arc of daylight stretching to its furthest extent across the globe. With the midsummer sunset at 20.45 UTC<sup>1</sup> in Liverpool we started the festival at 19.00 UTC. This enabled us to link to the dawn breaking in Tokyo (19.30 UTC), Seoul (20.10 UTC), Shanghai (20.50 UTC) and Sydney (21.00 UTC). We also added webcam links to the sunsets over Rio (20.15 UTC) and Buenos Aires (20.50 UTC). Music, dance, drama, literature etc on stage thus follow the passage of the sun across the globe, with performers drawing on both the world’s cultural canon (Japanese folk songs, classical Chinese poetry etc) and their own creative work (e.g. a sequel to *A Midsummer Night’s Dream* and Sunset Dawn inspired songs and poems, e.g. my own *haiku* below:

Atlantic sunset,  
Pacific Dawn – we are all  
bathed in one great sea...  
Pacific sunset,  
Atlantic dawn – world as mind  
now awakening...

In Xi’an the June solstice Sunset Dawn is a multilingual festival organized under the auspices of NPU’s School of Foreign Languages, and the geographical frame extends from the sunset over Xi’an (12.00 UTC), south-east Asia (Bangkok 11.50 UTC) and India (Agra 13.45 UTC) to the dawn breaking over the Americas: Santiago (11.45 UTC), Mexico City (12.00 UTC), San Francisco (12.50 UTC). Once again this creates a spectacular multicultural frame that offers plenty of scope for creativity and live interaction via Skype, but we also stress the principle of inclusivity. So contributions are welcome from outside the geographical frame if they are offered in the spirit of the festival – e.g. themed on the sunset or the dawn, the magic of the night, light and dark etc. Puccini’s celebrated tenor aria *Nessun Dorma* (literally *Let no one sleep*) is a good example, and is perfect for *Light Night* events in which people stay up thru the night to see the sunrise. *Turandot*, the opera from which it is taken, tells the story of a beautiful but cold-hearted Chinese princess. The question is: can anyone melt her heart? A young prince thinks he can – his confidence echoing in the last line of the song with its dramatic crescendo: *all’alba vinceró* (*at dawn I shall win*).

## 2.2 Art as a means of transformation

With regard to the visual arts we have decorated the theater foyer in Liverpool and the stage-set in Xi’an with photographs of the sunset and the dawn taken by student and local photographers. In a superficial sense this visual decoration makes the venue somewhat akin to an art gallery – but there is also a deeper connexion on a pedagogical level.

Developments in museology – specifically the role of museums and galleries in education – reflect changing ideas about education in general, and have a close bearing on festivals as a means of education, or rather as a *context/environment for learning* – in the post-modern pedagogy of our time.

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Note 1: All times in this paper are sourced from [www.sunrisesunsetmap.com](http://www.sunrisesunsetmap.com). For ease of comparison they are stated in Universal Coordinated Time (UTC) for 2017 and are rounded to the nearest 5 minutes except in Section 3.3 in which case they are actual for 2012.

Sir Nicholas Serota, Director of Britain's Tate Gallery, stresses the vital educational role that galleries now play in the following terms: "*Cultural learning feeds every part of our being – our minds, our imagination and our values.*" <sup>[2]</sup> And his success in turning the old Bankside Power Station into an environment for cultural learning is evident: it is now the Tate Modern – one of London's top tourist attractions – and itself an iconic model of artistic transformation.

Gazing up into the vastness of the Turbine Hall of the Tate Modern recreates something of the sense of awe which people in the Middle Ages would have felt as they entered the Gothic cathedrals that towered over their cities. Art gives form to space, as space gives context to art, and in that interaction, in the all-pervading, all-transcending realm of consciousness, the mind seeks the meaning of what the heart feels to be beautiful, of what fills the soul with awe. In the Middle Ages that quest for meaning had a distinctly religious intent. In today's secularized Western world art is not so much intended to give definitive meaning as to prompt questions that stir the creative mind, perhaps giving rise to a whole galaxy of sensations and impressions that we find impossible to put into words. If it does so, it is considered highly effective, for it is thru stimulating the quest for meaning – thru the process of seeking itself – that art has the power to transform.

Critics of creative education often focus on the superficiality of what they see as merely *entertainment* rather than a deeper journey of artistic transformation: "*we could see that children were enjoying dancing in the gallery – but were they learning anything?*" <sup>[3]</sup> Festivals can be appreciated on different levels – and there is certainly no problem with enjoying them – but from a pedagogical point of view they also need to offer a context for learning and discovery that allows ever deeper layers of meaning to unfold – for it is in that unfolding that the inner seed of transformation opens to the light. The Sunset Dawn is an archetypal festival of transformation – of day into night, and night into day... And set on a global stage in a cosmic theater with light as its medium, the festival offers a coherent context for learning that can do far more than merely entertain.

### **3. Connecting mind and cosmos in a university of light: the Sunset Dawn as a model for academic inquiry and research**

When Europe's first universities were founded in the Middle Ages, the term "*university*" embodied the ideal of universal knowledge based on the curriculum of the seven liberal arts (i.e. arithmetic, geometry, music and astronomy plus the classical linguistic trio of grammar, rhetoric and logic). While the sheer volume of knowledge today inevitably entails a high degree of specialization, the recent growth of multidisciplinary and cross-curricular approaches shows the value still attached to creating a vibrant and fertile whole. In this section we consider how the Sunset Dawn can serve to foster those approaches as a holistic model with light as its medium.

#### **3.1 Light and enlightenment**

In Raphael's painting *The School of Athens* in the Vatican the elderly philosopher Plato and his student Aristotle are walking towards us engaged in a deep philosophical discussion. Raphael captures the moment when the old Master points to the heavens while Aristotle gestures towards the earth with an outstretched hand. It is generally assumed that Plato is indicating that his *Theory of Forms* in some heavenly realm of eternal truth is superior to Aristotle's empirical knowledge based on his observations of the world around us. One could well imagine the conversation continuing thus: Aristotle: *But what can you know of the world if you do not observe it, and draw logical conclusions from it?*

Plato: *It's not the world around you that counts, but the light in which you see it.*

Plato was fascinated by light – another good reason for pointing to the heavens – and makes clear in *The Republic* that our understanding of the world depends critically on the light in which we see it. Here I paraphrase his *Allegory of the Cave*. <sup>[4]</sup> A group of prisoners shackled in a cave can only ever see shadows on the wall cast by a fire. Hence they come to "see" everything that gives rise to the

shadows as a mere shadow of itself. And if one of them manages to escape and sees the world in the true light of day, they will have a hard time trying to convince the others that that is the true reality.

In his *Analogy of the Sun* <sup>[5]</sup> Plato takes us into an even more metaphysical realm. Just as light enables us to see, so goodness enables us to understand. And the source of light and goodness is one and the same: the sun. Over the course of history Aristotle may have gained the upper hand as the father of empirical science, but Plato's finger still points to what is essential to all human understanding – the very nature of light itself. Platonists and Aristotelians have been endlessly arguing the merits of the spiritual ideals and perfect forms of enlightened minds versus the messy complexity of earthly facts that we see in the light of day. And as Master and student continue their walk thru history, and their argument becomes ever more intense, *The School of Athens* now seems to call for a common understanding of the light that links our inner and outer worlds.

### 3.2 Building on the wisdom of the Tao

As the Earth rotates on its axis and orbits the sun, thru the dimensions of space and time the radiant oneness of the sun's light becomes the earthly polarity of night and day heralded by the sunset and the dawn. Thus we see how the two polarities interrelate, how each contains within it the seed of the other, and how the dynamic between them sets the pulse of life on Earth. It is not only a beautiful manifestation of the wisdom of the Tao, but can also help us to understand our own inner creative process as part of that light – and life – giving impulse. In the 1920's the English social psychologist Graham Wallas, one of the co-founders of the London School of Economics, proposed that the act of mental creation took place in five stages: preparation, incubation, intimation, illumination, and verification. <sup>[6]</sup> The incubation phase involves putting the matter away into one's subconscious mind – e.g. "sleeping on it" – while illumination is "seeing the light." There is an obvious parallel with the sunset and the dawn here that is mirrored both in the metaphorical language we use e.g. "it dawned on me" or simply "I see" (= I understand) and in our everyday experience. To sleep on a problem, or on a big decision, and then to see how things stand in the light of a new day, is part of the universal wisdom we share across all cultures however much our religious and spiritual traditions may differ.

If the Sunset Dawn serves to manifest the ancient wisdom of the Tao – and in a way that fits particularly well with today's global media age – as a cosmic model it can also accommodate many other world views: for example, it can be construed as a model of Confucian *Grand Harmony* between Heaven and Earth with man as the connecting link, or, to take another three-fold model, it could be seen as mirroring the *red earth, black people, yellow sun* Australian Aboriginal world view enshrined on the Aboriginal flag. Both the festivals in Liverpool and Xi'an have linked not only East and West – bridging the sun's diurnal cycle – but also North and South – bridging the sun's seasonal cycle. That gives us a four-fold model with an even more complex dynamic, and the complexity can keep growing. We can surely count ourselves lucky not to live in a world of black and white, and perhaps we see the first manifestation of the immensely rich and beautiful diversity in which we do live in the colors of the sunset and the dawn – as day fades into night, and night melts into day. That can be celebrated in art; it can be celebrated in poetry; it can be celebrated in music. And if we ask ourselves how can we convey light and dark and color in music, in poetry, in paint on canvas, in pixels on screen... then what gives life to the festival can also cast light on our understanding of our world, and our understanding of ourselves.

### 3.3 Paradox, synchronicity and the search for new paradigms

Let us now come back to the key question behind the whole Sunset Dawn project, and consider it in purely geophysical terms: "As you gaze into the sunset in the western sky, where will that sun be rising?" The answer, much beloved of English pantomime audiences, is: "It's behind you!" So how come a particle/wave of light that is moving in one direction in front of you is also moving in the opposite direction behind you? The point is that the Sunset Dawn can be construed as a paradox which we can resolve quite simply at the level of the solar system. If Newton's key insight was to scale up the forces that made apples fall from trees to the level of planets orbiting the sun, could we

reverse the direction, and scale the Sunset Dawn paradox down to understand enigmas at the microcosmic level of quantum physics? Schrödinger's cat in the box might be interested to know.

The Sunset Dawn is also an archetypal model of *synchronicity*, the term coined by Carl Gustav Jung to describe coincidences in our lives that appear meaningful, but have no rational explanation. On 21 December 2012, as the sun was setting over the Mayan pyramids on the Yucatán peninsula (Chichén Itzá 23.18 UTC), dawn was breaking over the eastern seaboard of China (Shanghai 22.49 UTC; Beijing 23.32 UTC). Just a coincidence? Or a pointer to the emergence of a new world order? We live at a time of global awakening – both of the planet and of the human mind – and we need new paradigms of understanding to make sense of what we find.

#### **4. Future projects**

Building a coherent global frame for the Sunset dawn is currently work in process. My paper *Sunset Dawn: using media technology to enhance a global festival of light*<sup>[7]</sup> outlines the technological and media expertise required. Meanwhile the following projects are on the drawing board.

##### **4.1 Lighting up the silk road**

With a revitalized Silk Road now entering a global media age this festival is envisaged as a Europe-based *Light Night* tracing the dawn breaking along both land and maritime routes via online media links. The principal venue would be a museum, gallery, university or cultural quarter in Europe with Silk Road exhibits that are brought to life within the frame of the breaking dawn through music, song, dance, stories, poetry etc. *Lighting up the Silk Road* thus offers an ideal cultural-creative complement to one of the major political and economic initiatives of our time.

##### **4.2 The sky towers project**

In the dawn of the Renaissance people began to see the world in a new light, and from a new perspective – a world view captured in the three dimensions and subtle realism of Renaissance art. Today, with the advent of electronic media, we can see the world once more in a new light, and from a new perspective, or rather from multiple perspectives within an all-embracing global frame. If that perspective is characterized, above all, by our view of the planet from space, perhaps the best place on Earth to recreate it is the viewing platforms gracing the skyscrapers of today's world cities.

The Sunset Dawn can bring that global world view to light in a unique experience that marries cutting-edge technology with one of the most beautiful sights in nature. The superb vistas are already there, and there is no better time to enjoy them than as the sun sinks below the horizon at the end of the day. Add in media links to where the new day is dawning – with views from sister towers across the globe – use a touch of AR to explore beyond the horizon, and you get a sense of the awakening perspective, and potential, of a global media age. That potential is going to be very much on show at EXPO 2020 in Dubai with its theme of *Connecting Minds, Creating the Future*<sup>[8]</sup>. The Sunset Dawn Sky Towers Project offers an ideal frame for such connectivity and creativity to flourish, while there could be no better launch-pad for the initiative than the soaring skyscrapers of Dubai at EXPO 2020.

##### **4.3 A museum of light**

While the viewing lounges of some of the world's iconic skyscrapers would make an excellent platform for a Sunset Dawn science museum-type experience as suggested above, what would a purpose-built Museum of Light actually look like, and what would it offer as an educational experience – as an environment for learning? Universum, the principal science museum in Mexico City, has a comprehensive Museum of Light section covering both art and science, but it is not purpose-built, while Valencia's City of Arts and Sciences is purpose-built, but not specifically dedicated to light. The centrepiece of the latter, the *Hemisfèric (Hemisphere)*, designed by architects Calatrava and Candela, is in the form of an eye, and serves as an IMAX cinema, planetarium and laserium. It is a fine example of what can be achieved where the fields of science, technology, and

entertainment converge. So there are some inspiring examples of design, and some good educational programs on offer. They just need to come together. I believe a Museum of Light should naturally embrace art and science, our muse and our Einstein, our inner and outer worlds, and the sunset and the dawn. It should be an environment for learning, inquiry and research that opens fresh perspectives as each new day dawns, and it should be a space to celebrate what gives life to us all.

## 5. Summary

By using today's media technology to link the sunset and the dawn across the globe, the Sunset Dawn offers a unique experience of awakening to the planet and the humanity share. And that awakening not only fosters creative thinking in the celebration of the festivals themselves; because the Sunset Dawn is based on a coherent life-giving model, it can also foster vital insights into how we understand our world and ourselves thru a creative approach to education that casts light across the whole curriculum.

## Acknowledgements

I am grateful to all the students, colleagues and creative friends who have given freely of their time to support the Sunset dawn over the years. Special thanks also to the School of Foreign Languages and Office of International Cooperation at NPU Xi'an for helping to launch the festival in China.

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# The Impact of Disruptive Enabling Technologies on Creative Education

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**Keywords:** Enabling technologies; Education; Disruptive technologies.

**Abstract.** This paper explores the impact of disruptive enabling technologies on creative education. It charts some of the important challenges and opportunities created by the rapid developments in sophisticated digital communications, artificial intelligence, rich interactive multimedia and cloud computing. This paper suggests some radical changes in the approach to education for future generations.

## 1. Introduction

Prior to modern computer and digital communications technologies, traditional classroom education has been based on the transfer of knowledge from subject matter experts to student recipients of that knowledge, the so called “Sage on the Stage”<sup>[1]</sup>. This form of knowledge transfer is characterized by high levels of dependence on the human capabilities of the tutor to not only communicate effectively but also to personalize their approach to each student. The knowledge transferred in the classroom has been supported by books, exams, practical sessions and discussions between tutors and students. In this traditional environment, the student’s ability to access information and knowledge was limited in time and space by the resources available to them such as libraries, local experts and fellow students.

The introduction of the internet as a phenomenon in the 1990s arguably represents a quantum shift in student empowerment to access information and knowledge without the restrictions of time and space and only limited by the capabilities of the digital communications network and knowledge retrieval solutions. Web 2.0<sup>[2]</sup> provided an additional dimension to student empowerment by making it possible to not only access information from global resources, but also to publish information to a global audience. Thus, the phenomenon of the “Prosumer”<sup>[3]</sup> was born representing the ability of citizens to not only consume information but also produce it.

In parallel with developments in digital technologies specifically aimed at the education sector, a wide range of technologies and applications designed for non-education sectors have been rapidly maturing and it is the re-purposing of these technologies and applications which is having a growing impact on education. The primary focus of this paper is the impact of these disruptive “generic” consumer technologies on education practices and strategies.



## **2. Disruptive generic technologies**

### **2.1 Hardware technologies**

The early days of personal computer technologies in the 1980s saw the emergence of desktop computers being used for Computer-Based Training (CBT). Early CBT solutions were effectively electronic equivalents of books with the added component of testing. As hardware technologies have evolved, the richness of educational content and levels of interactivity have gone way beyond what had been possible with printed books.

Today, the hardware technologies which are most ubiquitous are portable devices such as tablets and smartphones which, like books, can be carried and accessed 24/7 but, unlike books, content can be continuously revised and updated from central repositories to ensure that learners have access to the latest content. The generic technologies of smartphones and tablets were not specifically aimed at the education market but, through their ability to provide instant 24/7 access to information and people, they are having a profound impact on how education is perceived and can best be delivered.

As the processing power of portable devices, the speed of wireless communication networks and the audio-visual capabilities have constantly developed to satisfy consumer demand for instant access to social media, entertainment and e-commerce, so their potential for use in education has also evolved almost exponentially, making learners ever more self-sufficient and independent of traditional subject matter expert tutors.

### **2.2 Software and operating system technologies**

The advent of personal computing saw “ease of use” and “processing power” as primary considerations in the development of the software interfaces with the user. The introduction of the Graphical User Interface (GUI) in the 1990’s simplified human-computer interaction (HCI) but 20<sup>th</sup> century computing was essentially based on a “one-size fits all” approach.

Today, with the advent of “big data”, cloud computing, machine learning and artificial intelligence, the on-line activities of users are monitored, tracked and analysed as an essential part of building personal profiles of users for use in a wide range of applications such as e-commerce and on-line dating. This personalisation of applications is a phenomenon partly designed to address the “attention economy”<sup>[4]</sup> but also to attempt to build the kind of personal relationships between technology and humans that previously had been the domain of human-human relationships.

Individual users can personalize their portable devices according to their preferences and lifestyles whilst the applications they choose to use make increasing use of these advanced software and communications capabilities to “lock-in” users to their software and, in the process, increase the user base and its ability to provide the “big data” to achieve greater levels of accuracy in personalization.

### **2.3 Digital communication technologies and internet of things (IOT)**

The third generic technological development has been the advance in wireless digital communications and the proliferation of autonomous and semi-autonomous connected devices such as wireless sensors used for a variety of applications to both collect data and interact with users.

IOT devices can track user behaviours and preferences and feed this information back into the increasingly sophisticated cloud computing and artificial intelligence applications being used to personalize interactions with the user.

### **2.4 Interface technologies**

The generic technologies used to both provide input to and receive output responses from digital systems have also seen dramatic advances in their capabilities and range of senses handled in recent years. The keyboard, visual display units and printers of the 1980s have been augmented by other devices and technologies that dramatically impact the way in which humans can interact with technology through increasingly “intelligent” and haptic devices.

Sensory input devices which include brainwave monitoring headsets can now be used to provide input to computers and output devices are now capable of producing 3 dimensional physical, visual, auditory and haptic output.

### **3. The impact of generic disruptive technologies on education**

None of the technologies described in the previous chapter were developed specifically for education but all of them individually and/or in combination are having a dramatic impact on the process and delivery of education. As all these technologies become “consumerised”<sup>[5]</sup>, they become affordable and accessible by mass populations of all ages.

In different ways, these technologies empower individuals to “self-direct” their learning activities through the use of technologies which make them less dependent on the traditional subject matter expert tutor. Thus, the role of teachers in society is profoundly changing in an environment where technology empowers learners to quickly acquire knowledge and skills which may have taken their tutors a lifetime to achieve.

In this age of robotics and artificial intelligence, teachers will increasingly need to adopt the role of mentors, facilitators and coaches – skills which the best teachers throughout history have used to not only teach but also inspire their students.

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## Research on Service Situation of Primary Command Officer and Reform Strategy for Military Academy

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**Keywords:** Focus on actual combat; Service development; Military quality; Innovation ability.

**Abstract.** The education of primary command Officer directly determines the quality and future development trend of the officer corps under the condition of information-based war. On the basis of investigating the service status of primary command officer, the research comprehensive evaluated the military and political quality of academy graduate students, analyzed the problems existing in the process of first service office for graduate students, putted forward the countermeasures and suggestions for realization the connection of tracks for academy talent cultivation and troops demand. The research has a important practical guiding significance for enhancing the level of academy teaching and training.

### 1. Introduction

Primary commanding officer nor only is the basis of the officer corps construction and the basic source of senior command officers, but also it is to meet the new military revolution and the key to push the construction of the modern army. To cultivate the new type of military talent to satisfy the needs of the future war, the plan of construction and development for military academy before 2020 years pointed out that adhering to the modern military requirements of Chinese characteristic power system construction as the traction, to cultivate the high-quality military talent of fighting and winning as the core, to deepen the reform of academy education in an all-round way. The document of strengthen and improve the army's opinions on academy teaching requirements for Department of the General Staff Military in 2013 insist on army targets at the head of the academy talent training. The military academy education meeting for 2014 demanded academy education should further closer to the forces. The instruction of the army military training for the General Staff Military in 2014 pointted out that the academy education should focus on actual combat, deepen the reform of the military training, to strengthen the combat training, promote the integration of training and practical experience.<sup>[1]</sup>

### 2. The service status and development in the army for the primary command officer

Through in-depth investigation and questionnaire analyses in the army, the service status and development situation of the primary command officer is overall very good in the army, and they can rapidly adapt to the environment and the train of grassroots troop. As a example for 124 division of 42 army, it has been assigned to the 222 the primary command officer from the Academy of Armored

Force Engineer since 1999. There are 168 (76%) the primary command officer in the different positions, 54 (24%) are transferred to civilian work. In the coastal developed regions, it still can maintain 76% ratio on-the-job office is not easy from 1999 to 2015. It fully shown that the graduate students' ideological are very stability. They can take root in underdeveloped barracks, and owed a higher defense dedication.

From the office job level, there are 6 officer for the regimental level or technical grade nine, 16 battalion or technical grade 11, 48 company level or technical grade 13, 91 platoon level or technical grade 14, 7 others (figure 1). From the level of service jobs, there are 53 staff officer in engaged in mechanism works, 22 company or platoon office, 79 technical work and 10 other work (figure 2).

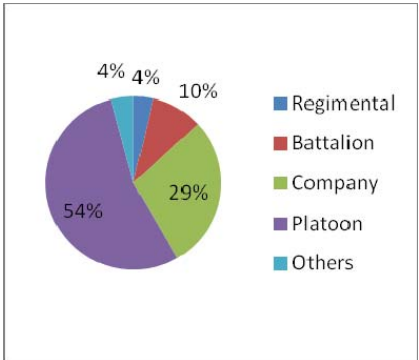


Fig.1 Service position level of primary commander officer

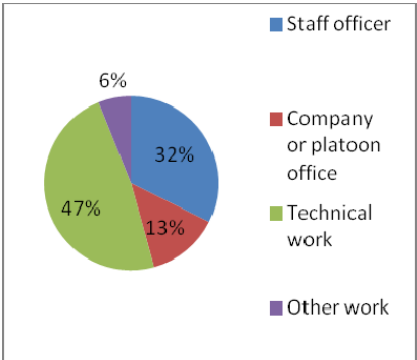


Fig.2 Service position type of primary commander officer

From graduate students serve level and job category map, the service and development situation is overall good, and it is identical with the current forces promotion system and the grassroots units. The development of the outstanding graduate student present a larger progress space, and they are able to do some important jobs. Graduate students engaged in administrative work or technical work has grown into the main body of troops construction strength after years of army cultivation, and they played an important role in the army comprehensive construction. It shows that the Academy of Armed Forced Engineer has made contribution in conveying education institute for armored mechanized troops.

### 3. The overall evaluation of the development for graduate students from army

#### 3.1 Primary command officer have firm faith and selfless dedication

The 8 division of 26 Army was known as the Ferocious Lion, and 124 division of 42 Army is the only a amphibious mechanization division in Guangzhou Military Area. Training task is very heavy and living conditions is difficult for two troops. The chief commander of army agree that academy graduates assigned to the grass-roots units are able to carry forward the spirit of “faith, pragmatic, dedicated” as school motto, consciously to establish the idea of “respect the professional, grass-roots unit”. There are 96% the commander officer of the battalion or company are able to work at ease grass-roots troops. They have strong dedication and sense of responsibility, and practice the revolutionary soldier core values in the new period.

#### 3.2 Primary command officer have wide knowledge and higher comprehensive qualities

Army chief pointed out that the undergraduate of the type “4 + 1” have the more profound knowledge reserves after four years academy education system, and improve the military command skills when they are been assigned command academy for training at the fifth years. The graduated had grown into inter-disciplinary military command talents with technology, command and management after

troops combat and train. In which they have sprung up a group of advanced talents and revealed a large development potential. It shows that the academy cultivate successfully the primary commander officer by the training mode of “4 + 1” type.

Questionnaire survey showed that 84.6% graduate students think academy course can meet the requirements of cultivating primary command officers, 82.9%, 75.8%, 64.7%, 75.8% of students respectively believe that they mastered the best knowledge is natural science, humanities and social science knowledge, military knowledge and professional knowledge in college, and these knowledge provides the deep development foundation for the position. Only 23.1% students though they had known about the military knowledge of frontier science and technology. Academy of Armed Forced Engineer (AAFE) had strengthen the military knowledge by relatively wide range of elective courses in the new talent training scheme.

### **3.3 Primary command officer have skilled technology and higher ability to innovate**

The chief commander officer thought that the graduate students had the solid theory foundation and familiar with the performance of the equipment, technical indicators and maintenance. They have the stronger ability of practice innovation and have grown up many technical backbone in service positions. There are 72.4% graduate students served as the training coaches of equipment, and they played an important role in the integrated construction of information system and equipment. There are 23 commander officer on armored technology in 124 division, in which there are 18 graduate students of AAFE, the ration reaching 78.3%, it is very higher proporation.

Questionnaire survey showed that there are 74.6% graduate students which believe that college education of AAFE train the skill of strong problem analysis and problem solving. There are respectively 86.5%, 86.5% and 61.3% graduate students think that the excellent development ability is military basic skills, equipment use and military organization skills, there are only 24.6% and 14.2% graduate students think that they possess the ability of military command and coordination organization. These ability will be cultivated by constant practice in AAFE.

### **3.4 Primary command officer have the rigorous attitude and the fine tradition of military engineer**

The chief commander officer thought graduate students worked hard, meticulous attitude, strong principle, and excellent military tradition. The commander officer of technical positions can manipulate the chariot when they organize the check of equipment technology, inspect each parts and equipment, and they are in strict accordance with the “the fault equipment is not navigate in the sea, and the sea equipment are trouble-free” standards, strict with the use process of equipped.

The interviewed soldiers thought the chief commander officer strives for perfection of the equipment use, maintenance, in strict accordance with the standard process operation, and they modestly ask for soldiers. The commander officer set an example by meticulous work style for the soldier, and promote the construction of the company standardization and regularization.

## **4. The problems existing in the first service position for graduate students**

On the basis of approving the good quality of graduate students, the chief commander officer cordially points out that the graduate students still exist two aspects problems from participating in military training and task performance.

### **4.1 The military qualities for the need of the combat is slightly weak to primary command officer**

The chief commander pointed out that the current situation of complex military struggle put forward higher request of military quality for the primary command officer. The cultivate talents of AAFE should possess solid foundation of military theory, the deepen thinking ability of military innovation, outstanding talent of military command, excellent military style, strong military fitness and

outstanding tactical skills. But the military quality of part of the graduate students have still large gaps with the needs of military organization and management for actual combat troops work, especially behavioral for failed the physical examination, shooting skill don't attain standard, tactics accomplishment aren't high, reading and using map aren't strong, the new equipment are unfamiliar with use, etc. These defects have seriously affected ability of the first service post to play a role, also they restrict the development of follow-up for graduate student.<sup>[2]</sup> Therefore, foster the military quality of graduate students is the most important direction of education reform from a view to practical need for AAFE.

#### **4.2 The personality traits of adapt to the forces environment is low for graduate student**

The chief commander officer thought that the graduate students should complete the role change from student to army officer in the first service position, to adapt for the request of the work and the environment. Part of the graduate students shown maladjustment in the role change and had a few problems in the process of the first service position. Largely mainly students' personality traits evaluation is low, which are the responsibility, introversion extroversion, the style of work, the leading power, coordination communication, team consciousness and other factors. These personal trait caused a adverse affect to the first service position, so the graduate student can't adapt to the environment, and it influent the transition from the student to primary command officer. From the perspective of sound psychology, the academy education should construct the course system of personality traits, enhance the understanding for the environment of army, cultivate students adapt to the forces environment as soon as possible. It is the very important reform contents for military academy.

### **5. The countermeasures and suggestions for connection of tracks between academy talent cultivation and the demand of troops**

From the point of investigation and research results, there are still a certain gap between the graduate student of academy cultivation and the demand of troop, and the graduate students' ability of the first service position isn't completely adapt to the objective construction demand of troop. It will impact the capacity generation of forces fighting and the comprehensive construction. The education transformation in current academy must be based on the requirement of the forces, to change education idea, to deepen the education system reform, to achieve seamless integration with the train of army combat and talent cultivation of academy.

#### **5.1 To attain connection tract between the train goal and the combat generation**

The academy should design the talent train scheme from the height of the academy strategic development with a forward-looking vision. It should highlights the value orientation of "teaching for war", to really determine the demand of the forces and the characteristics of the service position. The academy should define the index of quality and ability for graduate student, these will make the talent education have more targeted, concreteness and operability.<sup>[3]</sup>

First of all, the academy should strengthen the scientific and pertinence of talent goal for primary commander officer, and scientifically demonstrate the ability index of first service position combined with the job requirements of in the army combat train for primary commander officer. Secondly, the academy should lay down operability and measurable train target, and refine the standards of ability train. On the basis of the universal military talent ability, the academy should define the component of the first service position competence, explore the growth process of talent competence, and translate train goal into cultivation standards.

#### **5.2 To realize connection tract between the educational idea and troops requirement**

The academy should go down to the grass roots of troop, find out the great gap between the target of academy and the requirement of troop, explore the actual situation of combat for troop, inspect the

deviation and deficiencies of academy education in the perspective of the troop, determine the combining site between the academy teaching and troop requirements.<sup>[4]</sup>

First of all, the academy should establish verification idea. The talent of academy is inspect by troop, so the academy should plan and organize the teaching according the requirement of troop. As an important criterion, to judge whether the school is successful or not delay on the inspection standard of the army.<sup>[5]</sup> Secondly, the academy should set up the open educational idea. The academy must actively explore a long-term cooperation mechanism for talent cultivation with troop, listen to the voices of force in the aspect of training scheme design, teaching organization, examination and evaluation etc, to ensure the connection between the academy and troop, to improve and strengthen the scientific, pertinence and effectiveness of service training.

### **5.3 To promote connection tract between the teaching contents and standards of service position**

At present, AAFE have lain down the new talent train plan, formulated the new curriculum standard, construct the new curriculum system of compulsory course and elective course. In accordance with the new talent train scheme, the academy should establish the whole dynamic curriculum system accords with post standard for primary commander officer.<sup>[6]</sup>

First of all, the academy should avoid blind to pursue systematic and integrity of the course content, to outstand the requirement of professional post, to abide by the generation rules of ability, to introduce the professional standard into the curriculum system, to fade-out the limit of fundament course and professional course, to integrate the fundament courses and professional courses with specific post standard.<sup>[7]</sup> Secondly, the academy should break through the traditional curriculum model, to construct integrated model of ability generation, to reflects the diversity and flexibility in implementation way. To change the status of the large proportion theory, increase the proportion of practical courses on equipment operation, skills training, troops operating abilities.<sup>[8]</sup> The academy should establish curriculum pattern which suitable for the development of the students' ability for professional stage degree education, to flexible process the relation between compulsory courses and elective courses, the relationship between classroom teaching and extracurricular education, to highlight the pertinence and effectiveness of the teaching content forservice ability.

### **5.4 To guide connection tract between the teaching methods and training requirements**

Influenced by the traditional mode of record education, the education pays attention to teaching but neglect of the operation, pays attention to classroom but neglect of the practice, these phenomenon is still prominent at present. It failed to reveal the basic requirements of cultivating the first service position. The academy must realize homogeneity between the teaching methods with the military training means as soon as possible. The academy build the approximate circumstance of actual combat for training the student, and it will help the student of military academy change into commander officer of grassroots troop in advance at the train stage.<sup>[9]</sup>

First of all, the academy should allocate more new equipment on the basis of the existing equipment, and actively research train method of new equipment for introducing into teaching, to strive ahead of the troop on the methods of training and innovation. Secondly, the academy should enhance the level of company management, and outstanding the position and role of student company in education and training.<sup>[10]</sup> The academy must establish a cross rotation mechanism for a service position among the faculty, cadres and chief commander of company, to introduce many company cadres with many experience guide students. It will make students participate in management from passive to active, to learn management in the initiative society activities, and to improve ability and quality management for primary commander officer.

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## How Extenics Promote Innovation and Entrepreneurship in Colleges on the Background of the Mobile Internet

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**Keywords:** Entrepreneurship; Innovation education; Extenics; Methodology; College students.

**Abstract.** Entrepreneurship and innovation by college students is a systematic project requiring suitable guide. The paper presents a model of how the Chinese original discipline, Extenics, promotes both innovation and entrepreneurship in Ningbo, China, which is relatively well-developed in the environment of entrepreneurship. We designed a teaching model of multi-collaborative innovation and entrepreneurship practice under the Mobile internet environment based on the scientific methodology--Extenics. By information collection on the mobile internet and intelligent processing into basic element base, our systematic extending model was conducted to prompt the methodology mechanism of both innovation and entrepreneurship, and in turn improve the collaboration of governments, colleges and enterprises to facilitate the advancement of innovation and entrepreneurship. Applications showed that this methodological system could effectively increase the success rate of innovation and entrepreneurship by college students.

### 1. Introduction

The 21st century is the "innovation and entrepreneurship era". With the push of knowledge economy, the competition among countries has focused on the level of their innovation and entrepreneurship. According to a survey, college students from Zhejiang province have the highest success rate of 4% on start-ups comparing to other districts at present. The rate in the whole country accounts for 2% on average, which lags behind the European college students for totally 10 times as their rate is 20%. There are "three-low" phenomena including low entrepreneurship rate, low success rate and low technical content <sup>[1]</sup>. Therefore, it is vital to perfect the promoting system to encourage college students to improve their innovative capability.

A theoretical framework of the entrepreneurship policy includes three elements of entrepreneurship: motivation, skill and opportunity on empirical research in 10 countries <sup>[2]</sup>. The framework covers 6 aspects, involving the entrepreneurial promotion, education, environment, funding in start-up and seed round period, support in start-up period, the target group strategy and so on. Based on education conception in the context of products, processes and lifetime of systematic conception design, practices and operation, A CDIO (Conceive, Design, Implement, Operate) education model is also adopted to cultivate students' innovative capabilities <sup>[3]</sup>. After surveyed 1,790 students in junior and senior grades from 25 universities in 9 countries, they found that college students' innovation and entrepreneurial intentions increased substantially when provided with more sophisticated investment and financing services <sup>[4]</sup>. For example, there were over 200 venture capital

institutions in French, which promoted start-ups in a certain extent <sup>[5]</sup>. American scholars such as Bruyant believed that American students' innovation and entrepreneurship initiative originated from the individualistic values of Western culture, free and equal economic environment and social atmosphere of encouraging innovation <sup>[6]</sup>.

In general, there are many researches on college students' innovation and entrepreneurship in foreign countries, and their research results provide great reference value for the promotion of the field in China. However, due to the different domestic and international environment, it is urgent to develop a promotion mechanism and carrying out practices of innovation and entrepreneurship with local characteristics in China. The rest of this paper is organized as following. Section 2 analyzes the issues college students faced when they start businesses and bottleneck problems under the Internet environment. Section 3 explores the new models and case studies on the cultivation of college students' innovative ability in the context of mobile network followed by a brief summary and some future research scopes in Section 4.

## **2. Analysis of the problems college students faced in innovative and enterprising education**

### **2.1 Problems**

In the context of the mobile network environment, it has been increased substantially of convenience, timeliness, richness of contents and fun when students acquiring knowledge by search engine tools. The former learning way of mostly relying on teachers' teaching and books is undergoing significant changes. First, most students prefer to learn on the mobile phones or have fun rather than listen to the teacher. Second, information exploration confused the students and they can't master the skills of problem solving well from lots of knowledge.

### **2.2 Introduction of Extenics**

Extenics is a science solves problems by using the formal model to study the laws and methods of possibility of the extension of things and pioneering innovation <sup>[7]</sup>. Broadly speaking, the theories and methods of creativity produced by the study of Extenics have become the theoretical basis and method source of producing creativity. The study subject of Extenics is the contradictory problem, the basic theory is the extension theory, the method system is the extension method (as these methods are particularly suitable for innovation, so, they are also known as the method of extension innovation), the logical basis is extension logic, and the cross-integration of various fields forms extension works ultimately. The Author of the paper based on the theory of Extenics, systematically analyzes the factors of the reason why college students lack innovative ability. The logical analysis concluded that the bottleneck of the above issue lied on the lack of effective innovation methods <sup>[8]</sup>.

### **2.3 Models**

Based on the networking environment, in which computer Internet and mobile Internet are available almost everywhere, Systematical research was conducted on the strategy of cultivating innovation ability of undergraduates from the perspective of multiple synergies. It was found that the combine of Extenics with Internet information retrieval and intelligent information technology <sup>[9]</sup> could effectively enhance the ability of students to use information technology for process-oriented and formalized innovation in colleges <sup>[10]</sup>.

We designed the extension teaching model in the context of information environmentbased on Extenics, and developed the instruction materials on the method of extension innovation and related software platforms. The model is showing in Fig. 1 as following.

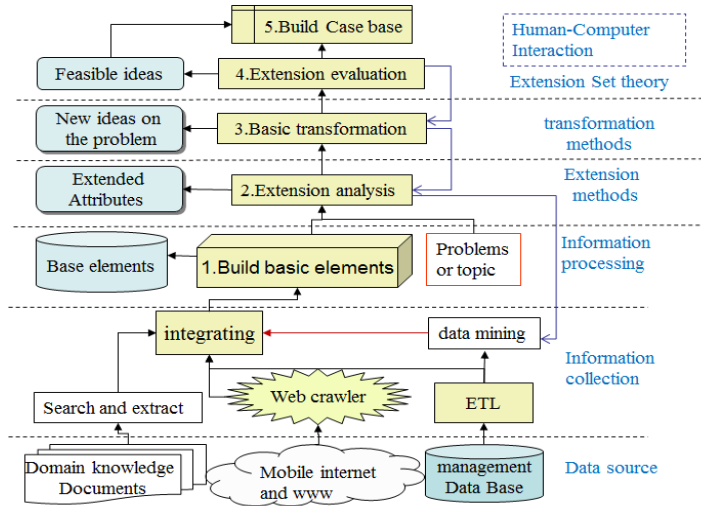


Fig.1 Extenics based model of creating new ideas or solutions

We published 8 papers in this field, made speech in the international academic conferences for 6 times and received positive evaluation from domestic and foreign counterparts. The following are description of the model in detail.

### 3. Innovative teaching model based on Extenics

After systematically studied the interrelationship between methods of extension innovation and specialized courses, we designed the content structure of teaching, individual practical training and comprehensive group practical training. The target of the research was to solve real contradictions and win in the competition. Meanwhile, knowledge of cognition and methodology are integrated, and practices were carried out in a double helix interaction way. So a virtuous circle would be formed as students can get the sense of achievements from their learning.

#### 3.1 Contents

The main teaching contents include: grasping the concept of basic-element theory and its application; knowing how to analyze by conjugate method, four kinds of extension methods and five kinds of extension transformation methods; enabling to propose new product ideas with the method of extension innovation; being capable of transferring contradictory problems in daily life and proposing innovative strategies to deal with them. Some examples are as following:

- The main teaching theme 1: the basic-element theory and its application.
- Knowledge points: the concept, expression and expansion of basic-element theory.
- Capability goals: to modeling the problem and extend thinking width based on the basic-element theory.
- Practice: Personal Guinness Record of College Students.
- Teaching methods: theoretical teaching, case analysis, and practical training.
- The main teaching theme 2: extension transformation theory, methods and training, knowledge points: extension of the object and method of transformation, innovation path
- Capability goals: abilities of gathering information, expressing basic-element and handling contradictory problems
- Practice: How to be employed by some famous international enterprises?
- Assignment: Submit a report of applying Extenics Methodology in study or business practice.

### 3.2 Implementation strategy

The course emphasized the combination of theory and practice, and adopting case teaching method, group teaching method, simulation teaching method and so on. This course was based on class teaching and aided with a lot of innovative practice training to cultivate students' practical ability. The specific implementation strategy is:

The course trained students' abilities on solving practical problems with their knowledge by adopting what they have learned and collected as materials and using the methodology of extension innovation as processing tools. Measures of procurement cost control and procurement rebate deduction are designed, role-playing and debates were also in the list. Practical trainings were carried out to improve the efficiency of group learning; the process of their cooperation management was designed and its results were checked at last.

In the process of learning, we should conscientiously implement the principle of integrating theory with practice, grasping the basic concepts, theories and methods; meanwhile consciously apply those things to generate innovative strategies on dealing with contradictory problems. Course assessment focused on the practical ability of students, which combined the integrated operations and classroom training summary. Weekly examination results accounted for 70%, open-book examinations accounted for 30%.

### 3.3 Examples of practical training

#### 3.3.1 Personal practice of guinness records

Question: Collecting personal data and comparing it to the classmates' to find out whose data ranks top. Groups were divided each for 5 students and presented individual Guinness respectively. Each effective record scored according to the grade: the group record scored 1 point; the class record scored 5 points; the major record scored 10 points, college record scored 15 points. The records must meet the following conditions:

1) The ranking is based on data and facts; 2) The item of Guinness Records is optimistic, not vulgar, and with practical significance and positive energy; 3) Sorted into excel files according to its level after the group competition and score accounting.

Through the collaborative innovation of information collection and processing, and digging out their strengths in personal Guinness projects, each student identified at least eight individual Guinness Records in the end, which help the total 67 students in this class found self-confidence. It was also a great practice for undergraduates to improve their abilities of collaborative innovation.

Furthermore, Students extended their practicing contents and well-grasped tools in the business practices. For instance, students of 08grades from MIS major extended personal Guinness Records to be first employed by companies. They participated in the design of brand planning program for the new energy companies and recognized by the chairman of the board. The use of knowledge of process design optimization to draw the strategic investment process and participating in the compilation of books awarded them the praise of vice president in AUX. Students of Financial Management has six classes in different grades, they collected business resources in their spare time and summarized them into an enterprise resource tree with more than 1,800 piece of information, which has been a resource dictionary to deal with problems.

#### 3.3.2 Divergent thinking exercises with the different content in same ways

Here are two questions e.g., "D1. A professor speaks poor Mandarin and his language had no sense of humor, but each of his class was full of students, can you explain it?" Please list as many as reasonable explanations within 10 minutes.

"E2. A junior high school student only got 56 points in his math test, but the parents were very happy to award him a meal in McDonald's, can you explain it?" Please list as many as reasonable explanations within 10 minutes.

After training by our model, the students increase their reasonable explanations from avg. 9 to 22, and some students listed more than 50 reasonable explanations.

#### 4. Conclusions and future work

Through the research and theoretical research, this paper drew up the analysis chart of the bottleneck factors, and found that what restricted the improvement of innovation abilities of undergraduates lied on the lack of innovative methods. Over 500 students were benefited from the application of the promotion model of extension innovation in 4 courses such as the course of “the management of information resources”. Over 350 students were benefited from the open of elective courses and the overall quality promotion courses on this field. The newly established major elective course of “extension innovation methods” realized the elite cultivation of educating the undergraduates in a postgraduate way. Comparing the empirical results, the open innovation ability of the students has been obviously improved, and the innovation program increased a lot after the training, which increased 168.56%. Adopting the model to guide students making their resumes and coping with interviews; students’ employment rate improved substantially and reached 100% in 2016.

The shift of education from knowledge teaching to knowledge innovative application has been effectively induced and the mobile phone has become a channel to obtain knowledge instead of an entertainment tool in class. So, the initial transformation for students to apply knowledge in solving problems has been achieved.

The combination of Extenics and specialized courses would be further researched to realize the innovative appliance of knowledge. By constructing the primitive base with the knowledge of specialized courses, the difficulty level of learning the knowledge has reduced. The basic material of expansion and transformation also has been made and creative ideas for problem-solving would be generated in combining with practical needs.

#### Acknowledgement

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## Creative Education and Dynamic Teletopy

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**Keywords:** Teletopy; Educational process; Cyberspace digital networks; Network society; Technological devices; Technical images.

**Abstract.** The order of the network society – teletopy, is based on technical images that work differently from traditional images and linear writing, thus calling for a new way of acquiring and handling. They reverse the educational processes for a variety of reasons. These reasons relate to the essential foundations of modern education, including university education. A whole new industrial and educational space is organized around information flows, and as a whole, “our society is based on flows. Capital flows, flows of information, flows of technology, flows of organizational interaction, flows of images, sounds and symbols. This creates a new form of social space, which determines the form of the network society. According to these concepts, educational institutions may succeed only if they become network nodes, because the power of flows is gaining a superior position over the flows of power. The presence or absence of a network and the dynamics of each network with others within the network are critical sources of influence and changes in society. Therefore, we call the current form of society - teletopy. At present, the quality of the educational process is more and more linked mainly to democratic teletopy, i.e. to the capability, the ability and willingness of the educational process participants to connect to the cyberspace digital networks. The technological progress, rapidly growing in the 21st century, also asserted itself in the ways in which we create, distribute and evaluate knowledge, skills and information today. Thus, in the very nature and structure of the education process.

### 1. Introduction: philosophy of education

Education is defined as a process of deliberate action on the personality of a person in order to achieve positive changes in its development. Various concepts and theories of education were influenced by sociocultural conditions, different conceptions of man, accentuation of individual aspects of the educational process. Some authors understand education as a fully controlled process affecting an unfinished person by a teacher or institution, with an effort to subordinate the individual to the society standards, but also to the standards of the institution, etc. (e.g. G. A. Lindner, R. Hubert, J. Lei). Others emphasize the role of the educated person himself as a subject of his own formation, and highlight the share of the personality on its own formation (J. J. Rousseau, J. Dewey, E. Key, C. Freinet, and others). The third stream of the definition of education is based on the interaction between the teacher and the pupil (e.g. D. S. Peters, G. Mialaret, and others).

Education is generally considered an integral part of the educational process, however, on the other hand, this term is considered to be specific in itself. We can define it as “a process of deliberate and organized acquisition of knowledge, skills, attitudes, etc., typically implemented through schooling. From the pedagogical point of view, these two concepts can only be separated in their academic definition, but not in practice. Here, the terms “training” and “education” mean the single “training and educational process”, which is also referred to as education. In the philosophy

of education, education means the process of general training related only to humans, and the term is derived from the Latin “educatio” (educating). Education is considered the overall and continuing development of the human personality by the effect of formal (educational) training institutions and informal (family, etc.) environment. The concept of educational philosophy emerges in the pedagogical theory in two interconnected meanings – philosophy of the educational process and philosophy of education as a scientific theory<sup>[1]</sup>. In branched, historically variable richness of ideas and directions, we can define three main foci of interest in this discipline: firstly, comprehensive view of the world of education, which brings with it the concept of man and his educability, development and meaning of life; secondly, methodological questions of exploring educational phenomena, possibilities and limits of human knowledge and its transmission, the unification of knowledge; thirdly, ethical issues of education, opinions on human life and the world of values that determine the normative structure necessary for the concept of objectives and nature of education.

In this context, Virilio’s dromology inquiry<sup>[2]</sup> can be seen as a contribution to the analysis – of methodological foundations of educational phenomena at current levels, the possibilities and limits of human knowledge and its transmission in the era of digital teletopy, i.e. in an environment where “to be” means to be connected to the network<sup>[4]</sup>. This is the context that could be very challenging and inspiring for the current theory of education. Virilio tries to draw attention of teaching sciences to several important phenomena that should be taken into account. The basis of his analyses constitutes the fundamental methodological postulate. The modern image of the world is very closely associated with the creation of technical means of imaging. Therefore, the following proposition applies. Abstraction, as a co-creator of the representation of the reality reduces the reality and creates a new reality. Conceptual, as well as media reduction of the reality, and creating new realities by the media depends on the degree and manner of media abstraction as a co-creator of the representation of the reality.

The notion of a media abstraction summarizes descriptive and analytical tools under one concept. Media abstraction is a process similar to the process of conceptual abstraction, the formation of a new abstract term. Conceptual abstraction has its preconditions and has its course. Assumptions of conceptual abstraction are identifying the characteristics of a certain phenomenon referred to by that term, and subsequently, the logical separation of one or more properties from this phenomenon. The progress of conceptual abstraction consists in that the identification of selected properties and their separation is repeated for the other phenomena of the same field and the results – the separated properties – are finally pooled and they become the content of the new concept. This new concept is then handled as a term that represents “something” (properties obtained by separation and subsequently merged into a single new unit) in the “reality”<sup>[3]</sup>.

Media abstraction is a process similar to the process of conceptual abstractions; however, instead of the “concept”, it involves the “medium-tool” (image, sound, writing, technical image, etc.). As in the case of conceptual abstraction, even media abstraction consists in the separation of certain properties identified in a particular phenomenon (reality). But unlike conceptual abstraction, which is the logical operation performed by the entity, media abstraction is a logical and empirical operation fundamentally dependent on the nature of the medium. What will be or will not be “separated” from a certain phenomenon and made available to man mainly depends on the nature of the medium. For example, the medium called writing cannot make colours available, but the medium called the picture can do that. No medium itself can make available or convey all properties of the reality, only some them. Virilio tries to show that media abstraction determined by writing creates a different reality than the media abstraction determined by the digital technical image. And that is a challenge for the contemporary theory of education.

## **2. Current theories in pedagogy**

In pedagogy, a large number of different theories of education have been created during its development. Their contents are usually reflections on the aims of education, the role of teachers, the status of pupils or students on the content of the different subjects and the importance of socio-



cultural education. With respect to a conceptual focus and philosophical bases, it is possible to identify seven major streams that can be traced in contemporary theories of education. They are spiritualistic theories, personalistic theories, cognitive and psychological theories, technological theories, socio-cognitive theories, social theories, and academic theories. The representatives of spiritualistic theories of education <sup>[5]</sup> are interested in the relationship between the human self and the universe from the metaphysical point of view. The subject of this approach to education is not an individual as such, but an individual as a part of the universe. Thus, the focus of education is not the development of the subject, but rather the relationships of the individual as a part of a larger whole. The core of spiritual knowledge consists in the subject's transcendence, the relationship to the divine, to the mystical reality. This kind of pedagogy is based on a non-authoritative relation to the pupil, which is reflected in the content, methodological and organizational dimensions of teaching. Theories accentuating the individual's autonomy and freedom are reflected in the anti-authoritarian forms of education. These concepts are still topical and come in many forms, such as free education (A. S. Neill), a non-directivity (C. R. Rogers), open education (A. Paré).

Cognitive and psychological theories emphasize the learning processes and the status of the pupil's existing knowledge. The teacher should know the level of knowledge which the pupil already has, the pupil's ways (styles) of learning and processing information, the level of his or her understanding. Acquiring knowledge is the result of the pupil's own cognitive activity, when the pupil confronts new information with the existing mobilized knowledge, and creates a new context and meaning. It is also important for the learners to develop knowledge of their own cognitive processes and reflect on their own cognitive approaches and mechanisms of knowledge acquisition. Socio-cognitive theories represent a wide area of educational theories that emphasize the social and cultural dimensions of the educational process. They demonstrate and illustrate the importance of a large number of social factors that have an important role in teaching, such as the influence of classmates, the influence of teacher's personality, the pupil's self-conception, his relationship to his parents and to the society, his cultural background and social factors that may influence his relationship to education. Social theories of education understand education as a tool for transformation of society. The goal of education is to build a new society whose characteristics will be a higher degree of social, cultural and economic responsibility <sup>[7]</sup>.

Generally, they are based on the conviction that the contemporary world is in deep crisis. The crisis of values and the environment increasingly affects our everyday culture, whose development does reflect a view of ensuring our survival on the Earth. Different technologies are evolving faster than the understanding of the objectives for which they should be used, and therefore it is necessary to take control over the development and change the social, cultural and ecological fabric of the society. These theories raise questions whether education can shape the learners to acquire critical thinking, to be skilful workers and active citizens, or whether education can promote democracy and equitably serve all learners. These theories have several mutually different currents and different theoretical bases. Technological theories emphasize <sup>[6]</sup> the formal aspect of teaching and consider the improvement of teaching methods, including the use of new technological resources the main way to achieve progress in education. Technological theories particularly emphasize logical arrangement of aids for the organization of teaching, and they give them preference over the content of education. Their emphasis is on the planning and organization of educational processes, on using modern communication technologies.

The fundamental problem, and at the same time, the weakness in the theories briefly characterized above is the fact that it is very difficult for them to cope with two new phenomena, both methodologically, and within the theory itself – the phenomena that newly structure logistics of perception and acquisition of knowledge and findings in the educational process – with teletopy and aesthetics of disappearance. Dromologic research by the French philosopher and cultural critic Paul Virilio helps us understand the boundaries and limitations of current theories, as well as the challenges with which Virilio confronts them.

### 3. Aesthetics of disappearance as the dominant cognitive metaphor in the educational process

Aesthetics of disappearance is a term that encompasses a characteristic that relates to the materiality of the medium a tool. Virilio explains it in an interview with John Armitage: "In ancient societies, we have aesthetics of appearance, which means that there was a durable material support of illustration: wood or canvas for the painting, marble for the statue, etc. [...]; as if the image appeared through the medium of canvas. [...] Michelangelo chisels a marble slab block, and the block of marble suddenly becomes Moses. The duration of this has a material basis. But with the invention of photography [...] and cinematography, man entered an era aesthetics of disappearance. At this stage duration is no longer of the material but cognitive nature, based in the eye of the viewer."<sup>[11]</sup>

Another aspect of the aesthetics of disappearance is related to the technique of sequential communication – typical of the film. Things are revealed just because something disappears. "Appearing and disappearing, it is a magic trick. Film images, however, are present only so long as the film frames flash twenty-four times per second. They are present because they quickly disappear. They evoke the impression of movement because they disappear immediately after they were captured by our perception. They exist, because they are unstable, because they are escaping. Visual aesthetics of appearance changes into aesthetics of disappearance, photo-cinema-video-holographic aesthetics. The world becomes a cinema. We are moving from aesthetics of appearance, permanent forms, to aesthetics of disappearance, unstable forms."<sup>[12]</sup> Dromoscopic vision based on optical illusions is strictly selective vision. This is another feature of the aesthetics of disappearance. The condition for appearance of things in the visual field is disappearance of other things from the field of vision, things of which we usually have no idea. *The media* that allow aesthetics of disappearance from this point of view are mainly the media of *quick* mediation, the media of *active* wave optics, and the media of external and internal artificial light.

Logistics of vision now has four visible realities that are taken seriously. The reality directly seen with the naked eye, the telescope mediated reality, and three realities mediated by the technical image (static recording – the photograph, dynamic recording – the film, and the direct transfer in real time). Present-day man constantly runs back and forth among these four different fields of perceptions, and the first, natural field of perception is gradually disappearing under the sediments of the other three, which are the result of various quick mediation of various machines of vision. The individual instantly moves from one reality to another while slowly and surely losing confidence concerning the "authenticity" and "originality" of this or that perceived reality, but also the confidence with respect to the criteria of differentiation of anything. Then it is not clear *where* and *with whose help* it is as possible to find reliable criteria assessing the reality, for moving from one perceived reality to another. Thus, the criteria of the reality are not searched in this reality itself, but in its character representation – in photography, film, digital representation. The recording is more real than what was recorded. This can be tricky, because "virtuality dominating the current moment shakes the very concept of reality"<sup>[13]</sup>.

### 4. Teletopy of technical images

Vilém Flusser, a native of Prague and a media theorist, states in his three key texts *Füreine Philosophie der Fotografie*(1983), has been translated as (Towards a Philosophy of Photography), *Ins Universum Der Technischen Bilder*(Into the Universe of Technical Images, 1985) and *Die Schrift: Hat Schreiben Zukunft?* (Script: Does Writing Have a Future, 1987) - that technical images become a dominant cognitive metaphor of the contemporary society and that a new social culture is being formed in connection with their creation, transfer and consumption. The term *technical image* (according to the Vilém Flusser, its first form was photography, and the last form by now have been images projected in all possible forms of screens, monitors and displays, including holograms), can be understood as a term referring to the beginning of a new age, which is coming after the age of linear writing. Historically as well as ontologically, compared to the previous tradition, these

technical images mean rupture, a breakthrough. Creating technical images was the necessary consequence of the link of texts to sensuously perceptible reality from which texts were abstracted earlier. Technical images have been an item of philosophers' interest since the time when W. Benjamin, a German cultural critic published the essay *Das Kunstwerk im Zeitalter Seiner Technischen Reproduzierbarkeit* (The Work of Art in the Age of Mechanical Reproduction, 1936), which is now commonly known. Unlike W. Benjamin, who focused on the theory of social and aesthetic issue of the original work and its copy in the age of serial reproducibility, Flusser concentrated on the technology of reproducibility of any work in the environment of so called new media which were just emerging. Just as Benjamin, Flusser recognized the first technically reproducible work in photography, however, unlike him (or the photography theorists such as - A. Bazin, S. Sontag, či S. Kracauer), he used his analysis as a tool of prediction of the future society development

At the beginning of Flusser's philosophy of technical images, we encounter a cultural-sociological model where the author in five stages indicates the changes in relationship between man and the world, depending of the kind of the medium dominant for the particular historical epoch. This model is a ladder with five rungs. The mankind has climbed this ladder step by step – from the concrete to higher and higher abstractions. It is a model of cultural history and the alienation of man from the concrete experience of reality, a model in which man puts agents/tools - an image, text, technical image - between himself and the world.

First rung: Animals and "primitive" people are immersed in an animate world, a four-dimensional space-time continuum of animals and primitive peoples. It is the level of concrete experience.

- Second rung: The kinds of human beings that preceded us (approximately two million to forty thousand years ago) stood as subjects facing an objective situation, a three-dimensional situation comprising graspable objects. This is the level of grasping and shaping, characterized by objects such as stone blades and carved figures.

- Third rung: Homo sapiens slipped into an imaginary, two-dimensional mediation zone between itself and its environment. This is the level of observation and imagining characterized by traditional pictures such as cave paintings.

- Fourth rung: About four thousand years ago, another mediation zone, that of linear texts, was introduced between human beings and their images, a zone to which human beings henceforth owe most of their insights. This is the level of understanding and explanation, the historical level. Linear texts, such as Homer and the Bible, are at this level.

- Fifth rung: Texts have recently shown themselves to be inaccessible. They don't permit any further pictorial mediation. They have become unclear. They collapse into particles that must be gathered up. This is the level of calculation and computation, the level of technical images.<sup>[8]</sup>

Linear texts thus occupied a dominant position as a carrier of vital information only for about four thousand years. It is the only time when we can speak of "history" in the strict sense. In the existence of mankind, linear texts played only a transitional role, in this sense, "history" was only an interlude, an episode. "The difference between traditional and technical images, then, would be this: the first are observations of objects, the second computations of concepts. The first arise through depiction, the second through a peculiar hallucinatory power that has lost its faith in rules. This essay will discuss that hallucinatory power. First, however, imagination must be excluded from the discussion to avoid any confusion between traditional and technical images"<sup>[10]</sup>. Flusser's model then describes a line – an image, text, technical image –, while a traditional and technical image quantitatively differ. In the following part of the text, we will show this principal dissimilarity. Traditional images (such as cave paintings in Lascaux) are abstractions of the first order, if they abstract from the concrete world, while technical images are abstractions of the third order, they abstract from texts which abstract from traditional images which abstract from the concrete world. The last part of this sentence is important, because it suggests that in the case of *technical images* (from a photograph to a computer image), we deal with abstractions of the third

order, not with images in the usual sense. Technical images make it possible to handle phenomena so that they can be perceived according to the apparatus programme or the intention of the apparatus user. Neither texts nor traditional images “can” do this. The new possibility to provide *virtual*, fundamentally cybernetic environment for our everydayness has become a reality. This is what Flusser conveys us in his philosophy of technical images with the urgency of his own. Technical images furnish the space of our everydayness in a similar way as an architect furnishes a room with new furniture. Technical images work by supplying a reality where it is needed. A neutral pile of points, a calculable pile, which must be “put together so that the world could be grasped, imagined, understood again the consciousness could become consciousness of itself again” is the subject of formation into technical images. “The world in which they find themselves can no longer be counted and explained: it has disintegrated into particles—photons, quanta, electromagnetic particles. It has become intangible, inconceivable, incomprehensible, a mass that can be calculated. Even their own consciousness, their thoughts, desires, and values, have disintegrated into particles, into bits of information, a mass that can be calculated”<sup>[9]</sup>. And this is what technical images are used for – putting reality together again. Our new arrangement of the world, new after the end of the age of linear writing, depends on two things – on apparatuses and on their programmes.

## 5. Conclusion

Virilio considers the technical image – whose first form was the photograph and the latest form is represented by images on the computer display and holograms – the technical beginning of a new era, which comes after the era of the text of linear writing. The logic of mediation it recognizes starts with mediation by means of material tool and continues with mediation by means of two-dimensional image perceivable by senses (which reduces three-dimensional space to two dimensions); mediation by means of an image is followed by mediation by means of a text (which reduces a two-dimensional image perceivable by senses to a one-dimensional abstract text of linearly arranged characters), and finally, mediation by means of a text is followed by mediation by means of a technical image. Briefly summarized, mediation proceeded as follows: image ↔ text ↔ technical image.

The most striking result of the action of technical images is obviously production reality in the full estsense. The generation that knows that to be is to be connected can hardly be aimed at knowledge built on foundations that will crumble by pressing a computer keyboard, and that will disappear by jumping from one part of cyber space into another. One-dimensional linear writing sorted into texts gave rise to a certain way of abstracting, one product of which is science. Technical images create new psycho-geographic empires, but they are no longer bound to the abstraction called states, but to networks. Technical images in the networks constitute newtime, dromospherical time of the network society, but it is no longer the time of history as sociated with the territory and the relevant abstraction called the nation. In networks carrying technical images, the reality is compiled again and differently than in the texts. Designing networks and technical images is dominated by the second stage of abstraction, abstraction of a scientific text – when using the networks and technical images, however, newness, abstraction of the third degree, and the image of a scientific concept as sert themselves. This abstraction is increasing entering the actions of those acquiring knowledge, learners and educators, and it is fundamentally changing their concept of what is the reality.

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# **A Research on the Classroom Mode of Business English Translation from the Perspective of Ecology**

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**Keywords:** Ecology; Business english translation; Mode of teaching.

**Abstract.** The article tries to observe the classroom mode of Business English Translation. The issues on translation teaching are investigated to propose strategies for and approaches to Business English translation teaching.

## **1. Introduction**

With the rapid development of Internet and multimedia technology, Business English teaching and learning has been developed considerably. Studies on Business English Translation from different perspectives continue to emerge. However, most of the studies center on the following aspects--the features of business texts, translation skills, improvement of translators and so on. It is rare to do research on teaching modes of business translation<sup>[1]</sup>. In fact, the results of teaching are closely related to the educational environment and therefore it is essential to analyze the connection between the theory of ecology and business English translation.

## **2. Ecology of education**

### **2.1 Concept of ecology**

“Ecology” refers to a whole of creatures and environment in a certain space of the nature<sup>[2]</sup>. In this holistic unit, creatures and environment exert influences on each other interactively because of which the nature stays on the relatively stable balance in a certain time span. In recent years, the concepts, ideas and principles of ecology has been extended to different areas of social studies and at present those of ecology has been gradually accepted by and applied to educational studies. Based on the theory of ecology, teachers and scholars try to observe classroom modes from the perspective of ecology and then ecology of education comes into being.

### **2.2 Introduction to ecology of education**

Ecology of Education has originated from the West. It has its root in the studies on the ecology of human behavior. In the 1930s, the term “ecology” was introduced into the field of education, which was marked by Waller’s Sociology of Education. In his book, Waller<sup>[3]</sup> first brought the concept of “Ecology of Classroom” into the educational studies. From the 1970s to 1990s, the overseas research on ecology of education had reached its heyday, which many scholars had dug deep into from different perspectives. Since the beginning of 21st century, the studies of ecology of education have been developed by leaps and bounds in mainland China. With the increase of studies and research, the quality of research has been greatly promoted together with the wider range of corresponding research. Meanwhile the education theorists and analysts have combined the concept of ecology with

the micro aspects, that is, to investigate the relations of education itself and interior and exterior environments.

Currently, the scholars of foreign languages cast their eyes on the ecology of foreign language education, by which the new research area has been developed. In his book the latest development of classroom of English, He Gangqiang<sup>[4]</sup> put forward ecological issues of foreign language education. Sun Guangping<sup>[5]</sup> regards Requirements for College English Teaching and Learning of 2007 as evidence for ecological education. Xue Jinxiang<sup>[6]</sup> systematically analyses the new mode of training work force of business English which broadens the horizon of the relevant studies.

Business English Translation, core course in Business English curricular, is distinctive with other courses. In the first place, two different languages, the source language and the target language, are involved in the course of Business English Translation, which is the special classroom environment. The teachers should pay attention to the ways of taking full advantage of this environment. In the second place, it is still doubtful whether the classroom should be teacher-oriented or student-oriented. Teacher-oriented lessons center on the explanation of information of translation theories and of translation skills and yet student-oriented ones on students' practices and experiences of translation. In addition to that, it is controversial that the working language in Business English Translation Course should be the mother tongue or the target language. Based on educational ecology, the related studies set out from these points to systematically build up the teaching mode of Business English Translation.

### **3. Issues on current business English translation teaching**

#### **3.1 Ambiguity of teaching objectives**

A teaching objective is one of the important components in the whole process of teaching, which exerts decisive impact on teaching methods, classroom environment, the teachers' role, the students' role and evaluation. Business majors of colleges and universities have set up Business English Translation Course with different teaching objectives. Some teaching objectives are to improve the cross-cultural ability and others are to promote students' language proficiency via translation practices. The ultimate reason for the confusion of teaching objectives is the lack of holistic arrangements and the relevant syllabus of business English translation. Thus, the teachers, in different phases of teaching, set up goals according to their own experiences only to cause chaos in teaching. It is a waste of time and brings down the students' interests and enthusiasm.

#### **3.2 Monotony of teaching approaches**

At present, most of the Business English Translation courses have always adopted the traditional teaching method---explanation. Through practices and exercises, teachers help the students understand and comprehend the feature of texts, translation information and specific translation techniques. In the internalization of knowledge and information, the method has played significant roles but problems exist, too. First of all, the teacher-oriented method demotivates students. Most of the teacher-oriented lessons concentrate on the teaching process and thus the environment is rather dull. What's more, most of the instructors pay special attention to the elaboration of translation skills rather than help the students change their ways of thinking in order to adapt their minds to the process of translation. In teacher-oriented class, the change of thinking ways are so scarcely involved that it is hard for the students to put what they learn in class into real translation practices.

#### **3.3 Obsolescence of contents**

The obsolescence of contents is shown in textbooks of Business English Translation. The textbooks are old-fashioned and out of date. Many a textbook was published in the prior century, in which the materials cited are outdated. Moreover, the quality of textbooks is distinctive from each other and

even some of the textbooks in the market are no more than a patchwork of bits and pieces and have negative effect on the learning and teaching.

#### **4. Construction of ecological classroom of business English translation**

##### **4.1 Ecological Syllabus**

Ecological syllabus focuses on the effective combination of business information, translation theories and translation skills. It also gives priority to the ecological environment and appropriate arrangement of learning objectives in accordance with different interests of individual students. With the clear-cut teaching objectives, the instructors are sure of the contents, the process and the teaching methods and are encouraged to lecture on information and skills from different aspects. The instructors may have a chance to fuse knowledge of linguistics, stylistics and business into the explanation of translation theories and translation skills so as to demonstrate integrity, systematicness and scientificness of the course.

##### **4.2 Ecological textbooks**

If the contents of textbooks failed to keep up with the age, it would be inevitable of the course to step out of the times. Therefore it is crucial for the instructors to choose the latest textbooks or those with the latest versions, by which the advancement and authenticity are guaranteed.

##### **4.3 Ecological teaching approaches**

With the advancement of Internet and multimedia technology, the instructors may display the translation examples through audio and visual materials. By a great number of practices, the students can have a better understanding of translation practice and improve their proficiency in translation. Besides, the creativity in translation can be promoted by selective translation, edited translation and etc. Automatic Learning Platform is one of the most important ways to improve students' translation ability. The platform is a database with a lot of translation texts. By uploading different kinds of translation texts, the instructor can aid the students to forge their translation and index abilities. It may also motivate students to dig into information beyond their majors, which is beneficial to their translation ability.

##### **4.4 Ecological organization of faculty**

Qualified teaching staff paves the way to the instruction of Business English Translation. On the basis of professionalism and practicability, the organization of translation faculty can be done from the following aspects: a. encouraging the English teachers to learn business information and to hold conferences regularly. b. encouraging to business English teachers to learn English and to enhance the proficiency of the faculty. c. The instructors may make plans for training. Through Distance courses and conferences, the instructors may integrate their comprehensive knowledge base and improve the teaching efficiency and proficiency to be competent at the teaching positions.

#### **5. Conclusion**

Business English Translation Course aims to train translation work force that will satisfy the factual needs of the market. But at present, there exist a great number of problems in Business English Translation, which requires the scholars and researchers to conduct studies continually.

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## Appraisal Research and Creative Education Laboratory Experiments

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**Keywords:** Appraisal discipline; Inclusive urban goods; Creative education; Experimental laboratory.

**Abstract.** Appraisal is a discipline that over the last 30 years has been a major expansion, both in quality and in quantity, following the globalization and financialisation of economics, the technological development and the new operational fields that require those skills. Despite such a broadening of horizons, the teaching methods are strongly characterized by classroom lectures; it is necessary to work towards an increase in the quality of the teaching models, opening up to innovative processes and creative education. The most innovative aspect of the appraisal discipline deals with the involvement of citizens in a process that makes it possible for them to express, in a shared way, values concerning inclusive urban goods. In order to develop appraisal technologies that are suited for assessing these values the experimental laboratory can be considered a creative way to combine research and teaching. The paper presents a synthesis and a partial result of a path which allows both to combine: a) research into new appraisal criteria and the control of the experimental procedures proposed for the appraisal of these goods; b) the use of innovative teaching and research methods in appraisal discipline aimed at educating to civilization.

### 1. Introduction

Appraisal has always been a discipline aimed to economic justice and it is based on a corpus of interdisciplinary studies that integrates engineering and architecture skills with many and multi-varied knowledge including those in the fields of economics, statistics and financial mathematics.

Over the last 30 years there has been a major expansion, both in quality and in quantity, in this discipline also following the globalization and financialisation of economics, the technological development and the new operational fields that require those skills. The Private Appraisal sector has been joined by a Public one in which assessment of non-exclusive use goods has acquired a dominant role; Agricultural appraisal on has been joined by real estate, urban, environmental and cultural heritage appraisal. Competence in expressing “Choice judgments” has been added to competence concerning “Value judgments”. Purely estimate-based approaches have broadened their scope towards encompassing financial analysis, cost-benefits analysis and multi-dimensional analysis, implementing the participatory evaluation processes.

Concerning the operative aspects, in the planning sector (including transportation, architectural, urban and restoration design, regional, landscape and environmental planning) Appraisal can prove to be significantly from project development to actual planning, from the execution stage up to the

management stage <sup>[1, 2]</sup>. In the real estate investment sectors valuation has the key role of helping ascertaining suitability of measures. Another key sector is that of evaluations for public interest or complex decision-making purposes.

Despite such a broadening of horizons of this discipline, the scientific research community is still a small number as of today and the credits assigned to Appraisal, in Italian universities, are rather inadequate for the educational purpose of professional figures like Architects or Engineers. Moreover, the teaching methods are strongly characterized by classroom lectures held in mono-disciplinary courses or modules in design workshops. Therefore, besides the need of increasing the key quantitative components of the appraisal sector, it is necessary to work towards an increase in the quality of the teaching models, based on recovering the history of the discipline and opening up to innovative processes.

One of the major cultural gains of our times concerns the model of sustainable development; the ecological culture and the related transition from an economy based on exploiting resources to one safeguarding them for future generations has become an additional cornerstone of today's society, in the framework of which, the inclusion of the community in decision-making processes is the emerging phenomenon. In many advanced countries these processes have been incorporated into routine practices, especially dealing with inclusive urban goods, where decisions are made directly by the members of the community involved. From an appraisal point of view, these goods require the search for innovative criteria since the consolidated ones (related to market value or cost value) do not render the entire set of quality characteristics that the community as a whole is willing to grant it on the basis of the perceived importance. Recent studies and different international cases provide a response through the integrative use of an evaluation criteria related to the importance that a valuing subject is willing to give to the good being assessed.

The most innovative aspect of the appraisal discipline deals with the involvement of citizens in a process that makes it possible for them to express, in a shared way, their own values. In this context, in order to develop estimating technologies that are suited for assessing the value of an inclusive urban good directly by a community, during the past five years the authors of the paper have started at the University of Rome "La Sapienza" an Experimental Laboratory for Civic Appraisal (CivicA), an innovative way to combine research and teaching in the appraisal sector.

This paper presents a synthesis a partial result of a path, that is still in the process of being developed and tested, which allows both to combine: a) research into new appraisal criteria that are suitable for adequately appraising the value of new goods that the society requests to be valued; b) the control and monitoring of the experimental procedures proposed for the appraisal of these goods; c) the use of innovative teaching and research methods in appraisal discipline.

## **2. Inclusive urban goods and deliberative esteem value**

Many decision-making processes related to new forms of urban transformation have concerned the enhancement of inclusive urban goods as a fundamental strategy for the implementation of projects capable of reconnecting economic growth with social promotion and environmental safeguard. From a strictly economic point of view, inclusive goods have to be intended as assets that are both non-excludable and non-rivalrous in consumption.

The increasing demand for inclusive urban goods and the progressive physical and functional degradation of existing ones occurred in recent years, make it necessary actions for recovering abandoned or decaying inclusive goods. In these contexts, valuation can support the building or the selection of more preferable implementation strategies. As each phase of the enhancement of inclusive urban goods arouses a variety of interests, different and often conflicting, the configuration of project scenarios is likely to arise increasingly from collective visions and concerted actions, for which it is crucial that the community participates <sup>[3]</sup>. From a valuation point of view, in order to involve the citizens in the decision-making processes, traditionally used criteria, procedures and instruments need to be reconsidered.

For the purpose of providing a technique which allows the measurement of the shared social appreciation of an urban inclusive good, the research group of CivicA laboratory proposes the contents of the Deliberative Esteem Value, directly indicated by the community and recognized by the different stakeholders. Since shared social appreciation of a community good cannot be ascribed solely to the senses of value linked to cost, exchange or use, it can be linked to an economic value stemming from the importance that the valuing subjects are willing to attach to it (appraised singly and not together with other goods) and treated objectively as a quality of that being esteemed <sup>[4]</sup>. The valuation criterion of an economic value of this sort is an absolute and objective esteem value measured in monetary terms taking into account the social perception of the effects produced by the combination of different kinds of causality: (a) factors linked to utility (active and passive), including those identifiable in principles of sustainability; and (b) factors linked to the shortage of naturally scarce goods or goods with limited availability due to high cost prices (if producible) and to the market (if tradeable) <sup>[5]</sup>.

To appraise Deliberative Esteem Value we propose deliberative appraisal procedure that combines deliberative methods, based on an informed discussion of a sample of the community, with stated preference methods (SPM), approaches to the economic valuation of a good based on individual respondents' statements about their preferences regarding hypothetical scenarios <sup>[6]</sup>. In this new perspective valuation must be preceded by a deliberative phase that involves a random sample of citizens, defined as the valuation group (VG), statistically representative of the community in question. The members of the VG are invited to state a preference or a value, based on informed and aware choices, to give their opinions and to discuss and even change them <sup>[7]</sup>. During a series of meetings, the members of the group are provided with the information necessary to enable them to discuss and state the social appreciation of the community good in question. In addition, they must be given the opportunity to ask experts and stakeholders questions in order to improve their knowledge, clarify doubts and express the different positions and viewpoints of the several players involved <sup>[8]</sup>.

### **3. Experimental laboratory for civic appraisal: features and applications**

Before being applied to real cases, the proposed appraisal procedures require laboratory controls which verify, in addition to their procedural feasibility, their suitability for the expression of values or preferences that have to be revealed. Due to lack of funds and resources, this operation is not feasible in real contexts; moreover, the real settings would not be suitable for application of the procedures aimed at experimental verification because such operations require controlled environments where reiterations, modifications to the protocol, and small variations are tools for verifying the method.

For these reasons, CivicA has been set up in order to reproduce appraisal procedures of inclusive urban goods proposed in a theoretical form within a controlled environment, with the participation and assistance of students. Within the framework of the various Appraisal Courses volunteer students can analyse in depth the issues of deliberative evaluation by actively participating in the simulation. During the laboratory experiments, having identified a real topic on which to focus the experiment, each student, through a role-playing game, is called upon to perform a citizen involved in the appraisal process.

For the appraisal discipline, characterized by a traditional classroom teaching, the experience of the experimental laboratory is an important innovation that combines research, education and professional experience. The students involved in the laboratory CivicA, as a matter of fact: 1) effectively acquire such concepts as participation, deliberation and sharing through an experience that directly involves them; 2) work together as active players in the experimental verification of the proposed procedures; 3) acquire a new technique by means of practice for which there will be an evergrowing demand from a professional standpoint. Moreover, the laboratory also makes it possible to blend a purely technological knowledge, which is related to the appraisal science and techniques, with a humanistic one connected with logic, reasoning and the arguments of the valuing subject.

Keeping to the mechanisms of role-playing games, initially the experimental designers described the setting and the characteristics of the individuals to the students who had offered to take part in the simulation. To make it easier for the students to perform their characters and to ensure maximum plausibility, the roles were assigned according to what the students themselves considered their aptitude and capacity to identify themselves with their character. Initially, the students taking part in the simulation had to interpret their character consistently with the profile described in the fact sheet and the setting. Then, through discourse and exchange of logical arguments, the characters were able to modify their initial positions and viewpoints, taking into account the opinions stated by the other members of the VG and the information acquired during the experimentation.

The Role-Playing Game is a common practice in experimental laboratories of economics, because students are more available to be involved and express curiosity and interest in taking part in experiments. Several scientific studies have compared the outcomes with students and real people, confirming the reliability of the results obtained with students <sup>[9]</sup>. The skill of a group of students in performing the behaviour of a sample of real population has been enhanced by the following elements: (a) an intensive and deep information system, useful to study the role; (b) a long period of training, essential to perform the role.

Finally, in a deliberative experiment, an undergraduate at the end of his academic career is a reliable subject thanks to his skills in adapting to contingent situation and in processing new information; his basic knowledge and critical approach make the student an ideal subject to play the role of a thinking and valuing citizen.

To date, CivicA has dealt with three different applications: one multi-criteria, and two other of monetary type.

A first application involved the testing of a deliberative procedure on a multi-criteria basis, aimed at selecting the most preferable project among the alternatives submitted to the contest for the redevelopment of the Moretta Square in Via Giulia in Rome <sup>[10]</sup>. After having prepared the students for the best interpretation of their roles, during the first meeting, the Valuation Group (VG) has been fully informed and made aware of the topic of the project. Based on the list of experts and stakeholders prepared by the group, in the second meeting consultations were conducted during which it was possible to directly know the different positions of the various stakeholders. Upon the conclusion of consultations, the students proposed a set of criteria to be used for the valuation and ranked them by order of importance; a preliminary appraisal was therefore carried out in an individual form and, subsequently, through a deliberative phase, a unique matrix was agreed upon which, after being analysed with different methods, led to the shared selection of the most preferable project.

The first of the monetary applications <sup>[11]</sup> dealt with the issue of a large Roman infrastructure, the East Elevated Expressway, in the stretch of San Lorenzo, falling into disuse, of which the shared social appreciation, assigned by community, was estimated, as regards the project idea of a conversion of the infrastructure into an elevated linear park. Operationally, once the target population had been identified, having formed the VG (a group of 30 students) and having tested the interpretation of the roles, the VG was briefed on the project's topic and arranged for the identification of such experts and stakeholders to consult with. Following the consultations, a long deliberative phase started that sought to formulate a shared willingness to pay (WTP), aimed at acknowledging the social importance of the converted infrastructure.

The second monetary experiment, currently in the process of being published, concerned assessing the shared social importance as regards design scenario aimed at recompose the Archaeological Park of the Imperial Fora in Rome. Taking into account the importance of the theme, the role-playing game was based on three different samples (the population residing in Rome, the Italians non-resident in Rome, foreigners visiting Rome). After experts and stakeholders arranged to integrate the information of the VG, the three groups were summoned separately for the final assessment phase in order to identify a shared WTP as concerns the proposed project scenario. The value of the overall

appreciation as regards the proposal of the Imperial Fora rearrangement was obtained by considering the results provided by WTP of the three samples that were used.

#### **4. Conclusions**

Over the last twenty years appraisal theory and methodology have developed innovative dynamics in several areas of its own knowledge framework in order to meet newly arising needs. Empirical studies are introducing considerations and integrations into disciplinary principles, an enlargement of the fields of research and activities and a compelling dialogue with other areas of scientific knowledge. The most significant innovations concern those relating to appraisal techniques aimed at formulating value judgements and judgments of choice that are directly expressed by the subjects of a community regarding goods or projects endowed with a significant social importance. These are citizen appraisals that involve social consequences due to the large population ranges concerned, as well as economic consequences, for the attempt to introduce the greatest possible realism in decision-making models. It follows that, in the definition of the new scientific paradigm of civic appraisals, experimental appraisal laboratories can play a key role. Thanks to this controlled experiment methodology, they offer the most favourable conditions for developing scientific analysis and the empirical basis of the appraisal process.

The CivicA laboratory itself consequently appears to be an effective and feasible tool for performing investigations and validations of new appraisal techniques. In the academic sector, CivicA has necessarily taken on special connotations. In the absence of economic and organizational conditions that are suited to conducting the planned experiments using real persons from the community under consideration, laboratory procedures based on simulation games have been employed. Student volunteers, through a role-playing game, simulated the citizens involved in the deliberative appraisal process. The culture, sensitivity, flexibility and readiness expressed by the students in the interpretation of the roles assigned to them made their participation particularly efficient and effective both as regards the quality of the results obtained and the volume of general resources as well as the breadth, consistency, and reliability of the objectives achieved.

The CivicA laboratory, located within the university, undoubtedly benefits from the knowledge and technological equipment of this setting. This made it possible to take into account those distortions arising from the preferences expressed in the condition of a limited rationality, employing both a strict control of the progressively obtained results, as well as an easy reproducibility of the experiments carried out by introducing the corrections suggested by the sensitivity tests of the appraisal models being investigated.

What is deemed particularly noteworthy here are the consequences of the CivicA laboratory on the conduct of university didactics and, more generally, on the education and training of students participating in the laboratory. The laboratory, founded on the practice of critical-interpretative thinking, not only helps to instruct, educate and train students professionally, but also contributes to the flourishing as a person, making him capable of reflective behaviours, of well-weighted judgments and increased identity, not enduring but in dynamic and intrinsic evolution through space and over time. The citizen who coexists in the figure of the student becomes himself a subject who boosts his quality of thinking and judgement.

The laboratory does not only provide students with a handbook repertoire of technical solutions for all possible contingent applications; this would still be a collection of instrumental endowment designed in the present and with a short time outlook. Conversely, the laboratory provides knowledge and attitudes that are appropriate to dealing with continuing socially significant and long-term problems; as well as scientific and cultural conditions, these are structured in technological knowledge but combined with many components of the humanistic knowledge.

It concerns approaches aimed at the quest for solutions based on principles of efficiency but in which it is strongly reflected the importance of reaching outcomes endowed with truth, validity and meaning. These are approaches that are not configured in accordance with these reductionist

conditions, bearers of errors due to biases generated by a supposed rationality, but on the contrary ready for the high degree of complexity that is a characteristic of the present day's urban phenomena. In social situations marked by pluralism and diversity, by difficult comparisons among "different ways of being different", as Amartya Sen says, by an everchanging space of possible alternatives, the critical-interpretative thinking suffers with strong evidence from an intrinsic incompleteness, that in turn is the cause of understandable attitudes toward anxiety and uncertainty.

The innovations introduced by CivicA represent a significant encouragement and an indicative contribution for a new kind of university didactics, which, kindling on a new basis the desire of the younger generation to learn, work and know how to live, proposes once again its primary function of educating to civilization.

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## The Influence of Positive Traits of University Students on Individual Creativity

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**Keywords:** Positive traits; Creativity; Torrance tests of creative thinking.

**Abstract.** With the advent of a knowledge-based economy, innovation can be regarded as a series of process of knowledge production, use and dissemination. Creativity is the source of innovation. The cultivation of creativity and innovative capability is a means to develop and strengthen higher education and cultivate human resource that the society needs. Positive psychology is a factor to elevate competition among higher education institutions, and it can assist college students to improve their knowledge, potential and contribution. This study developed creative courses for sophomore students in a university of science and technology in central Taiwan (187 students in total). According to the score of the “positive traits scale”, this study took the first 60 students of positive traits as the experiment group and the last 60 of negative traits as the control group. The results showed that the total creativity score of students of positive traits is significantly better than the control group students. It is evident that the creative course has a direct effect on students’ creativity. It is suggested that universities should continue to promote creative course to improve student’s competence.

### 1. Introduction

In order to follow the trend of global economic development and welcome the arrival of the knowledge-based era, innovation can be viewed as a series of processes covering knowledge production, use, and dissemination. Creativity is the source of innovation. Therefore, the cultivation of creativity and innovative capability is not only a way to develop and strengthen higher education and foster human resources that the society needs, but is also the basis to advance cognition and knowledge-driven economies. Confronting facial diversity and the knowledge-driven economy, the abilities of creative thinking and problem solving will be the key basic capabilities in future higher education; thus, the cultivation of creativity is one of the necessary ways to improve students’ competence. Positive psychology is a factor to improve competition among higher education



institutions and that positive psychology could assist college students to improve their knowledge, potential, and contribution <sup>[1]</sup>.

Creativity is the knowledge basis of innovation and innovation is the concrete practice of creativity. A personal study of creativity mainly focuses on the characteristics of the creator, while personal characteristics are the nature of creativity <sup>[2]</sup>. Creativity improvement on personal, emotional, and mental conditions, proving that if one could face difficulties with optimism, then that person's creativity would also improve <sup>[3]</sup>. Positive psychology places emphasis on the advantages and positive psychological traits as well as the construction of values in the action classification of strengths (VIA) from "virtue" as promoted by various cultures. In VIA's wisdom and knowledge, creativity is one of the indicators that present the importance of positive psychological traits towards the improvement and cultivation of creativity.

Positive psychology is a newly-developed field that emerged in the United States at the end of the 20<sup>th</sup> century. It includes three perspectives: positive experience, positive traits, and positive organization; and it is closely connected with humanistic psychology. Positive psychology places emphasis on the improvement of human psychological quality. Its core statement of focusing on individual advantage is similar to the theory of Maslow, who claimed that individuals should best play their potentials to be self-actualized and to improve life standards. The term "positive psychology" was first put forward by Maslow in the last chapter, "toward a positive psychology", of *Motivation and Personality* <sup>[4]</sup>. Positive psychology proposes that, aside from illness curing, a normal person should know how to play his individual's advantage in good conditions to make life more meaningful and pleasant. Students need positive psychological traits and schools to help them develop psychological traits. With the creative support of universities and the assistance of positive psychology, students can improve their knowledge and potential in universities.

Creativity is not only related to positive emotion, but also related to negative emotion <sup>[5]</sup>. Positive emotion means safety, which promotes entertainment and extent thinking, while negative emotion means danger or uncertainty, which drives people to work hard to find creative solutions to solve problems. Positive and negative emotions are the by-product of target-directed hope or desperate thinking <sup>[6]</sup>. With positive emotion, when one is satisfied with life, it would be helpful to conduct creative thinking <sup>[7]</sup>. Positive emotion enables an individual to thinking more flexibly and care more for the surrounding environment; thus, one has more creative behaviors <sup>[6, 8]</sup>. Therefore, following the trend of globalization and knowledge-driven economy, Taiwanese students should develop positive psychological characteristics and creative thinking and think in a positive way; and the target should be refined as specific steps in order to make Taiwanese human resources not only needed by society, but also competitive globally.

In conclusion, an individual's positive traits influence creativity, and creativity requires persistence to overcome difficulties, self-efficacy, and tolerance of uncertainty <sup>[9]</sup>, thus guiding children, students, and individuals to think in the direction of positive personal resources, refining targets as specific practical steps <sup>[10, 11]</sup>. Creativity needs a supportive environment to encourage contributions to creativity. Therefore, the main purpose of this study is to discuss the influence of the interference of individual positive traits on an individual's creativity of students at a university of technology, in the hope that the study's results may help Taiwan promote creative courses.

## **2. Literature review**

### **2.1 Positive traits**

Traits influence an individual's behavior, cognition, and emotion <sup>[12]</sup>. The advantage and virtue of positive psychology are to identify relative character traits rather than to explore how to identify and study these traits. Different from traditional personality psychology, it is more extensive. Character advantage is a kind of individual character related to some virtue. The specific definition of virtue is from VIA <sup>[13]</sup>. Positive psychology places emphasis on advantages and positive psychological traits,

and the construction of VIA from “virtue” is promoted by various cultures. Virtue is the core character, and creativity advantage is specifically used to achieve virtue<sup>[6]</sup>. Positive psychology is not for fame or power, but a faith to overcome failure and complete valuable and creative value in life<sup>[14]</sup>. Positive psychology is a kind of correct attitude, and positive mental attitude is the right attitude. Right attitude consists of positive traits, such as hope, optimism, and rich common knowledge<sup>[15]</sup>. In an individual’s nature, there exists a positive side. Positive thinking refers to firm attitude, is practical, and uses vigor and enthusiasm to solve problems<sup>[16]</sup>. The main content is the attitude to overcome self-defeat and the trait to develop an individual’s talent and positive thinking. Levels on individuals are the cultivation of positive thinking.

## **2.2 Creativity**

The core of creativity is to distinguish and master new ideas and abandon useless ones. Extensive thinking is an important trait of a creator. Creative capability is a kind of skill in an intelligence pattern structure and developed an extensive thinking skill test to conduct assessments<sup>[17]</sup>. The topic of extensive thinking needs various items to be evaluated, such as fluency, origin, flexibility of classification, and fineness of details. The Test of Creative Four Thinking by Torrance is the most common psychological test and research tool in this field. It includes four subsidiary tests of images of man or animals, an assessment about extensive thinking of pictures, and seven subsidiary tests to assess extensive thinking of articles<sup>[18]</sup>. The scores of extensive thinking are related to creative achievement scores, which are higher than the correlation between the IQ test and creative achievement<sup>[19]</sup>. The extensive thinking test is used to assess the best performance and the limit of individual capability<sup>[20]</sup>.

## **2.3 Positive traits and creativity**

Positive mood produces more creativity than neutral mood. Positive emotional condition (like happiness) produces creativity, while negative emotional condition (like sadness) is irrelevant to creativity, but a negative positive emotional condition (like anger) is related to lower cognitive elasticity<sup>[21]</sup>. Creativity is not only related to positive emotion, but also related to negative emotion. In other words, positive emotion means safety, which promotes entertainment and extent thinking, while negative emotion means danger or uncertainty, which drives us to work hard to find creative solutions to solve problems<sup>[5]</sup>. Creativity training promotes extensive thinking, creative solution, and work performance. One should focus on the development of creativity and new cognitive skills rather than on creativity-related motivation, personal traits, or interpersonal skills - that is, creativity training can be made effective by a well-designed positive practice<sup>[22]</sup>.

## **3. Research method**

This study took sophomore students in a science and technology university in central Taiwan as research subjects. These students had completed creativity lectures in their freshman year and studied a creativity course in their sophomore year. The population was 187 students in total.

### **3.1 Research tools**

The positive traits scale adopted herein is the Brief Strengths Test made by Seligman. The scale consists of 24 items, mainly based on the 24 advantage and virtue theory of Peterson and Seligman, as well as relative research<sup>[13, 23]</sup>.

In creativity assessment tools, an extensive thinking test is one of the most common tools to assess creativity, and TTCT is the most widely used questionnaire. Since TTCT includes article and picture tests, requiring a long time, Torrance believed that a simplified test would be more helpful, especially for the assessment of an adult’s creativity. Therefore, in 1980 he developed Abbreviated Torrance Test for Adults (ATTA). This study adopted Torrance’s ATTA as the test tool to test students’ creativity.

### 3.2 Research design

This research conducted a test with a “positive trait scale” in the first week. According to test scores, this study then took the first 60 students with positive traits as the experiment group and the last 60 with negative traits as the control group. This study performed TTCT with a double-group pre-test and post-test quasi-experiment method, for 18 weeks in total. The pre- and post-tests were done in the 1st and the 17th weeks. Table 1 shows the experimental design.

Tab.1 Experimental teaching design

Group	Pre-test	Experimental treatment	Post-test
Experimental group	O <sub>1</sub>	X	O <sub>3</sub>
Control group	O <sub>2</sub>	-	O <sub>4</sub>

O<sub>1</sub>, O<sub>2</sub> is the pre-test; O<sub>3</sub>, O<sub>4</sub> is the post-test ; X is the creativity courses

## 4. Research results

### 4.1 Basic information of tested students

The samples included 187 students in total, among which 60 are from the school of management (32%), 19 from the school of science and technology (10%), 43 from the school of design (22%), 29 from the school of humanity and society (15%), and 36 from the school of information (19%).

### 4.2 Comparison of the mean value of differences in post- and pre-tests between the experimental group and control group

In order to learn the differences in students’ positive traits before and after the creativity courses, we collected and analyzed the results. They show that the average pre-test scores of the two groups are lower than the post-test scores. The experiment group’s average pre-test score (M=27.250, SD=10.899) is distinctly lower than their post-test score (M=35.500, SD=10.308,  $p<.01$ ). The control group’s average pre-test score is (M=21.649, SD=8.9756), which is also distinctly lower than their post-test score (M=25.703, SD=9.492,  $p<.01$ ). This means that after taking creativity courses, students’ creativity improved, and the effect of the experiment group is larger than that of the control group. Table 2 presents the details.

Tab.2 Pre-test and post-test analyses of the overall creativity

Group	Pre-test		Post-test		<i>t</i>
	M	SD	M	SD	
Experimental group	27.250	10.899	35.500	10.308	3.947**
Control group	21.649	8.9756	25.703	9.492	3.654**

N=120, \*\* $p<.01$ ; N: Number of samples, M: Average, SD: Standard deviation

## 5. Conclusions

This study took the first 60 students with positive traits as the experiment group and the last 60 with negative traits as the control group according to the “positive trait scale” score sequence. After taking creativity courses, students of both groups improved their creativity, and the effect of the experiment group is evidently greater than the control group. Through inspiration, guidance, and training of teachers’ creativity teaching, it can be seen that students’ creativity can be improved. The creativity courses have a direct influence on their creativity, especially on those with positive traits. In order to cultivate students’ creativity and make them suitable for the development of society and the knowledge-driven economy, Taiwan’s higher education should continue to promote creativity

courses. In order to guide students of this generation, teachers should develop more creative teaching methods <sup>[24]</sup>. Therefore, creativity teaching will be an important trend in future education development. When promoting creativity education, schools should consider students of different traits and teach them different creative skill modes so that their creativity can achieve the best advantage. Schools can re-shape education through creativity training so as to help make education produce specific teaching profits from this basis.

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## University Reform of Russia in the Context of the Global Development of Higher Education

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**Keywords:** Higher education; Globalization; Internationalization; Commercialization; Flexible professions; Market of educational services.

**Abstract.** This document analyzes the major global trends that determine the current state and form the direction and development perspectives of the higher education system in the twenty-first century, such as globalization, internationalization, transition to mass higher education, commercialization, flexible professions, new approach based on the competency, emergence of new forms of education, change of education technologies and others. The authors identified trends that characterize for Russia's participation in the global transition to post-industrial education. It is emphasized that the Russian system of higher education is increasingly correspond with international standards, but series of indicators are lagging behind.

### 1. Introduction

Educational revolution occurring in the past half century is marked by transformations unprecedented in its scale and diversity. To reflect on this ongoing and dynamic process when it is in full swing is not an easy task. However, it can be argued that the events of the recent past are not so dramatic as in the XIX century when the advent of research universities (first in Germany and then in other countries) fundamentally changed the nature of universities all over the world. Academic changes late of the XX - beginning of the XXI century are more extensive because of its global nature and the number of institutions and individuals who are affected by them.

At present Russia is going through profound changes. In the previous situation for higher education was impossible to have autonomy, freedom of teaching and research and competition. This process of changes in the system of higher education in Russia is relatively recent, but despite this, modest but relevant changes are reported for the European context.

It is well known that the goal of the university in Russia and elsewhere in the world is not simply to prepare young people for a job: they must also cultivate values and principles that transcend time. In the current state of things that create the complex scenario of the globalized world in which we live, the reforming of higher education is not an easy task. The educational reform has affected the whole world, and Russia is no exception.

Since the mid-1990s universities have begun to actively carry out transformations, trying to adapt to new realities and take advantage of new trends in the global education system<sup>[1]</sup>.

### 2. Main trends that characterize the current situation of the educational market

Today we can identify a number of trends and important characteristics of the development system of the higher education in the world that are largely inherent in higher education of Russia.

## 2.1 Higher education in the processes of globalization

Globalization - the key reality of the XXI century - has seriously affected the higher education. We define globalization as a reality created by an increasingly integrated global economy, the new information and communication technologies, the emergence of an international knowledge networks, the growing role of the English language and other forces beyond the control of academic institutions.

Globalization in the economic field and the rapid development of information technologies form the global knowledge economy.

This trend is being studied extensively. In the Russian and foreign scientific literature this issue is explored in several ways by:

- Sociologists and experts in the field of higher education management (Altbach Philip G. <sup>[2]</sup> Hans de Wit <sup>[3]</sup>);

- Economists concerned with the quality problems and the efficiency increase of international education (Kirwan William E. <sup>[4]</sup>, Jamil Salmi <sup>[5]</sup>, Simon Marginson <sup>[6]</sup>);

- Researchers of national innovation systems (Stephen J. Ezell and Robert D. Atkinson <sup>[7]</sup>);

- Scientists specializing in the analysis of models of universities (Clark Burton R. <sup>[8]</sup>, the staff of the Institute of USA and Canada of the the Russian Academy of Sciences (Boris V. Supyan <sup>[9]</sup>).

The new features, directions and forms of globalization of higher education are coming out. The world (global) universities, global alliances and consortia of universities are forming. The new trends of ranking score of quality and performance of global universities ("new logic" of UN international university rankings) are being determined.

However researchers identified the main challenges and threats of the globalization of higher education <sup>[10]</sup>:

- The existence of strong competitors in the market (for example, a small local school occupying the leading position in the region and university with a reputation worldwide);

- The difficulty or even the inability to attract foreign students;

- The growing popularity of distance education.

## 2.2 The internationalization of education

Internationalization is a variety of measures and programs implemented by universities and governments in response to globalization. They usually include the mobility students to study abroad, the establishment of a branch - campus abroad or participation in some inter-agency partnership.

The processes of internationalization of universities all over the world cover all spheres of higher education: research becomes international in financing, curricula internationalize their contents and diversify in the main languages, disciplines increase their International bibliographic funds, academic mobility becomes a fundamental indicator of learning, offer standards become global, and the very relevance of programs are globalized, facilitating emigration and professional mobility.

The same professional labor markets have become international. International education contributes to training better-trained professionals, generating profits and benefits for universities and graduates, developing the diversity of capacities that most countries lack, and allowing greater mobility of factors.

In this global context of university internationalization, higher education in Russia is being restructured with the aim of becoming a benchmark for insertion into the global education system in the medium term.

Universities in Russia are implementing strategies in each of the three main forms of internationalization: student mobility, mobility and mobility programs of higher education institutions, which translate into research and collaboration initiatives, recognition of titles and degrees, etc.

It is now considered that the leader in exporting educational programs in the world is the United States. They are leaders in the number of foreign students enrolled and cover approximately 30% of

the market for educational services. Second by is the United Kingdom, followed by Germany, France, Australia, Spain and Canada <sup>[9]</sup>.

In this aspect of internationalization, as regards Russia, between 2014-2015, 84.4 thousand students from CIS countries and 221.4 thousand from foreign countries were trained. It should be noted that a quarter of a century ago, Russia shared with the United States the first and second place in the world in the number of foreign students <sup>[11]</sup>.

### **2.3 The transition to mass higher education**

Massification or transition to mass higher education is a process of adaptation of higher education institutions to the needs of society, ie, the needs of parents to give their children the opportunity to obtain the first stage of higher education - bachelor.

Transition to a system of mass higher education was accompanied by an increase in the accessibility of higher education for groups that did not previously have the opportunity to study at higher education institutions (women, low-income citizens, people from ethnic, racial and religious groups). As a result, today the students are persons from different backgrounds, with different demands and possibility of use of the acquired intellectual and cultural capital.

In Russia the number of people receiving higher education since the beginning of the 90s has increased in several times. The number of universities has increased due to the emergence of non-state universities during the same period of time. In the past five years the number of applicants exceeds the number of people graduating from school this year.

Massification of higher education is not a specific feature only of Russia. The developed countries are faced with this trend in the 70-80-ies of XX century. In Europe the number of the first students in 1960 and 1980 with an average increase in the 3,5 times, in Finland, Sweden and Italy - in six times, in Spain and Norway - nearly ten. Only by the beginning of XXI century the rapid growth in the number of students in most developed countries has slowed <sup>[12]</sup>.

The reasons for the transition to mass education in higher education are the same for all countries, including Russia. First by they are:

- Creation new jobs required for applicants for higher, complex and continuous training compared to that offered by primary and secondary vocational training.
- Higher education in a situation of labor market instability increases the competitiveness and adaptability of jobseekers.
- In addition, at the end of the twentieth century the social function of higher education has changed, which is nowadays the union of three types of social institutions of social importance - science, education and culture.

### **2.4 The commercialization of higher education and the transformation of universities into enterprises**

Today, private education predominates in the higher education system, not only in the Anglo-Saxon countries, where education has been traditionally financed mainly by non-governmental sources, but also in Japan, South Korea, Taiwan, the Philippines, Chile, Armenia . By the 1990s more than half of Latin American students were enrolled in private universities. There are 3,000 higher education institutions of different types in the US, half are private. In Japan 425 of the 600 private universities.

And the relationship between teacher and student also gives the character of the market. In our opinion it is a problem of the system.

Students are not able to buy educational services but also configure the set of these services according to their aspirations to increase their own competitiveness. This shows the decline in the meaning of fundamental knowledge. The dictated disciplines are oriented to the modern needs of the market.

It also changed the relationship of students and their parents with regard to university education. The general principle of choosing the university begins to be the correlation of "price / quality" and the position of the university in the "ratings".



Now in Russia there are 950 accredited universities, including 548 state and 402 non-state universities. Currently scope of paid education occupies a large segment of the Russian education system. In 2015, it represented 42% of all universities in the country (Table 1).

Tab.1 Educational institutions of higher education in Russia during 2000-2015

Years	The number of state and municipal institutions of higher education	Total students, one thousand people	Private educational institutions of higher education	Total students, one thousand people
2000/01	607	4270,8	358	470,6
2005/06	655	5985,3	413	1079,3
2006/07	660	6133,1	430	1176,8
2007/08	658	6208,4	450	1252,9
2008/09	660	6214,8	474	1298,3
2009/10	662	6135,6	452	1283,3
2010/11	653	5848,7	462	1201,1
2011/12	634	5453,9	446	1036,1
2012/13	609	5143,8	437	930,1
2013/14	578	4762,0	391	884,7
2014/15	548	4405,5	402	803,5

Source: Statistical collection data "Educational institutions of higher education – 2015". Rosstat. Electronic free publication - [http://www.gks.ru/free\\_doc/new\\_site/population/obraz/vp-obr1.htm](http://www.gks.ru/free_doc/new_site/population/obraz/vp-obr1.htm)

## 2.5 The transition to the "flexible" role and the competition approach

If at the end of the Second World War "The National Register of scientific and technical staff" produced by the National Scientific Foundation and the US professional scientific communities included only 54 specialties - twenty years later there were already 900. The list of new specialties grew rapidly, some of them stand out from the old, but some of them occur at the intersection of disciplines. The labor market began to demand "flexibility" of specialists to do the work, in which there are questions relating to different fields of knowledge and skills requiring adaptation to a fast changing labor operations.

Higher education respond to the evolving need for increasing the number of specialties, increasing interdisciplinary forms of training, and most importantly - the transition from qualification to competence, which was reflected in the ability to make effective and reasonable solutions to the rapidly changing conditions of activity. Thus, in higher education the focus was shifted to the learning process on the result.

In connection with the introduction of "flexible" specialties the system of education quality assessment has changed. Instead of the results of final exams the indicators of successful work of graduates (for example, occupied the position or the size of their salaries after graduation) have become more significant

On exiting the labor market the specialist are required willingness to carry out some (different) process steps and be able to control their quality. Hence the wishes of many employers to reduce the timing of preparation of students in higher education institutions, the elaboration of general skills in a particular area and the formation of ability to rapidly develop professional skills.

## 2.6 The emergence of new forms of education

In 2003 Russia joined the Bologna Process. A major goal of this process is "to promote mobility by overcoming obstacles to the effective exercise of free movement". For this it is necessary that the highest levels of education in the participating countries of the Bologna agreements were the most similar, and the scientific degrees issued as a result of learning - easily comparable.

A comparative analysis of the traditional forms of education in Russia and the new forms in connection with the reform of higher education (Table 2).

Tab.2 Comparative analysis of the forms of higher education

<b>The comparison criterion</b>	<b>Bachelor</b>	<b>Master</b>	<b>Speciality</b>
Entry Requirements	Secondary education	Bachelor	Secondary education
Terms of training (full-time)	4 years	2 years	5-6 years
Acquired qualification (degree)	Bachelor degree	Master's degree	Professional qualification
The content of the educational process	Common fundamental training in a certain direction without specialization	Deeper exploration of theoretical aspects, focused on research and development activities	Focus on practical work in the industry in the chosen direction
The form of the final state certification	State examination and defense of the final work	State examination and defense of master's thesis	State examination and defense of diploma work (project)
The possibility of further training	Masters	Postgraduate	Masters or postgraduate
Opportunities in the labor market after graduation	Employment for positions for which the qualification requirements of higher education provided: - Category "experts" senior group positions; - Category "providing experts' chief and leading groups of posts	Employment on the post for which the qualification requirements provided by higher education within their specialization: - The category of "leaders" the highest, chief and leading groups of Civil Service Positions; - Category "assistants (advisers)," the highest, chief and leading groups of Civil Service Positions; - Category "experts" the highest, chief and leading groups of posts	

Source: compiled by the author

## 2.7 Change of educational technology

In spite of the reform of higher education in Russia the main teaching technique traditionally remains - lecture and seminary. According to expert estimates, it is concentrated more than two-thirds of higher education resources. Although in the world since the 70s the proportion of schools using this system has been reduced.

Traditional passive transfer of knowledge (memorization process) has lost the ability to teach, as modern educational process requires the active position of students and reduces to the modeling of situation to gain experience (the process of reflection and search of the real solutions). Active application of educational technology as a debate, the case-method, game, training, project method and others in the model or the real situations of professional activity, improves the quality of training of future specialists.

At the same time open remote online education, providing access to education to more people becomes more meaningful.

For example, Massive Open Online Courses (MOOC) is a new form of online education in which additional materials to the basic training course are placed. Availability of quantitative (increased number of students, number of courses, number of participants in the project) and quality (the use of multimedia technologies and the possibility of interactive forms of communicative learning) indicators shows interest to this Internet resource.

Moreover, traditional textbooks from the book version transferred to an electronic format are placed on a paid or free of charge on the Internet and become available to a large audience.

In Russia, the formation of this market space has appeared recently. But distant education, community and training education system help to accelerate preparation for work in the highly dynamic labor market conditions and to have a major impact on the education market.

## 3. Methods study

In this study the authors used some methods such as a comparative analysis, synthesis, systematic approach and classification, historical method.

#### 4. Conclusion

The global trends above mentioned in higher school development determine the current state and form the direction and development perspectives of higher education system in the XIX century.

The analysis of globalization in the area of education allows us to emphasize that these processes will continue to be predominant in future. In the transition to the knowledge society, globalization makes higher education more qualified as centers of knowledge. The interests of the individual become the priorities of the new educational paradigm, in this sense, democratization, humanization and humanitarization of higher education become their main trends.

Trends identified characterize Russia's participation in the global transition to post-industrial education. The Russian system of higher education is more and more in accordance with the international standards. But there is a delay in some indicators in other developed countries: in the development of research in institutions of higher education, the transition to "flexible" specialization, the development of new forms of education, the introduction of new Education, market position in the world and the internationalization of higher education.

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## Positive and Negative Personality Characteristics and Patterns of Teachers of Schools in View of Students of Iran in 2014 – 2016

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**Keywords:** Students; Teachers; Patterns; Personality characteristics; Schools; Iran; Kerman.

**Abstract.** Professional patterns are one of the determining factors in achieving educational goals and better learning students. The aim of this study was to evaluate was Positive and negative personality characteristics and patterns of teachers of schools in view of students of Iran in 2014 – 2016. In this cross – sectional, descriptive study, 300 high school students of Kerman's Schools in Iran were studied. The instruments were used in this study was the scale that made by a researcher in three parts to review demographic characteristics of respondents, characteristics and patterns of positive and negative patterns of paid and scientific characteristics. Findings showed that students presented the highest positive role models related to having good morality (81/1%) Respect for a colleague (56/1%) Having higher education (45/3%) Excellent teaching (35/2) and Kindness (26/6%). the highest negative role models that presented by students related to Blaming students (-89/2 %), Unkindness (-56/8 %), Absence of having higher education (-37/5 %) and Not respecting the students (-13/4 %). The negative patterns, varying only in terms of academic status ( $P = .027$ ) No significant difference was observed. In total two categories of positive characteristic and three categories of negative characteristic include moral and communication techniques, management skills and educational and scientific competence and character, for professional and non-professional models, were introduced. Also, the results showed that there is no significant relationship between positive and negative patterns were introduced and general characteristics of students. Positive and negative characteristics of teachers play a significant role in their popularity and their model of personality and professional.

## 1. Introduction

Several factors are involved in improving the quality of education in a country <sup>[1]</sup>. Teachers play an important role in an educational system. Teacher performance evaluation has become a dominant theme in school reform efforts <sup>[2]</sup>. A school's ability to retain high quality teachers significantly influences the level of student achievement in the school <sup>[3]</sup>. The persistent shortage of high-quality teachers, needless to say, has been a major obstacle that threatens the quality of education and student achievement <sup>[5]</sup>. The shortage of fully certified teachers in mathematics, science, and special education has been a chronic problem <sup>[6]</sup>. According to the role of teachers in learning, effective teaching could improve the quality of education <sup>[7]</sup>. Teachers play the role of evaluators, constantly assessing students' abilities through formal and informal assessments, providing suggestions for improvement and assigning grades. An effective teacher understands that teaching involves wearing multiple hats to ensure that the school day runs smoothly and all students receive a quality education <sup>[8]</sup>. Students can provide quick and potentially useful information when asked questions relevant to the purpose of the evaluation. Professional patterns are one of the determining factors in achieving educational goals and better learning students <sup>[9]</sup>. The question that arises in this research focused on Positive and negative personality characteristics and patterns of teachers of schools in view of students and the aim of this study was to evaluate Positive and negative personality characteristics and patterns of teachers of schools in view of students of Iran in 2014 – 2016.

## 2. Materials and methods

This study was a cross-sectional study to determine the Positive and negative personality characteristics and patterns of teachers of schools in view of students of Kerman in 2014 – 2016. 300 high school students of Kerman's Schools in Iran were studied in 2014 – 2016. Variables measured in this study included age, gender, academic status and personality characteristics of the person being interviewed and Positive and negative personality characteristics. The instruments were used in this study was the scale that made by a researcher in three parts to review demographic characteristics of respondents, characteristics and patterns of positive and negative patterns of paid and scientific characteristics. The first part was related to the student's profile Including General Features (10 questions) and characteristics (15 questions). 10 The first question related to obsessive character and the Vigilance. The next questions was observed on responsibility. Second and third sections related to the positive and negative behavioral patterns, each part of them includes public profile (15 questions) and Positive and negative personality characteristics and patterns (separately, each one with 20 questions). In this study, participants were asked to choose three people as an example of positive and three people as an example of negative role pattern and then introduce them to mark their personality characteristics of each pattern. These items were mostly borrowed from the formal questionnaires which are being used in KMUS and some other Medical Universities in Iran to assess the performance of academic staff; the validity of these questionnaires have been assessed in previous studies <sup>[10, 11]</sup>. Researcher referred several times to the schools to distribute the questionnaires and provide adequate explanations about it to students. SPSS 21 (version 21, SPSS Inc., Chicago, IL ) was used to facilitate data analysis, groupings, repeated comparisons, and to retrieve quotations. Having checked the normality of the variables with one sample Kolmogorov-Smirnov test, the correlation between the responses of students and staff were assessed using Pearson correlation coefficient. Using partition cluster analysis, the potential groups among these characteristics were assessed. To check the accuracy of the generated clusters, the Minkowski Euclidean Distance was computed.

### 3. Results

In this study Positive and negative personality characteristics and patterns of teachers of schools in view of students of Iran were analyzed total of 280 students completed the questionnaire, giving an overall response rate of 90.9%. In the demographic data of the respondents (Table 2).

Tab.1 Demographic information of participants Positive and negative personality characteristics and patterns of teachers of schools in view of students of kerman

Parameter	N(%)
<b>Gender</b>	
Male	180 (64.2)
Female	100 (35.8)
<b>Marital status</b>	
Single	273 (97.5)
Married	7 (2.5)
<b>Native &amp; non native status</b>	
Native	256 (91.4)
Non native	24 (8.6)
<b>Age (Year)</b>	
16	80 (29.6)
17	70 (25.2)
18	130 (45.4)

Tab.2 Positive and negative personality characteristics and patterns of teachers of schools in view of students of Iran

Mean $\pm$ standard deviation	Negative personality characteristics	Mean $\pm$ standard deviation	Positive personality characteristics
-89/2 $\pm$ 2.30	Blaming students	81/1 $\pm$ 1.31	Having good morality
-56/8 % $\pm$ 2.42	Unkindness	56/1 $\pm$ 1.40	Respect for a colleague
-37/5 $\pm$ 3.29	Absence of having higher education	45/3 $\pm$ 1.26	Having higher education
-13/4 $\pm$ 3.12	Not respecting the students	35/2 $\pm$ 1.48	Excellent teaching
-10/2 $\pm$ 3.23	Talkativeness	26/6 $\pm$ 1.73	Kindness
-5/2 $\pm$ 2.34	Sloppy	5/2 $\pm$ 1.24	Warning
-3/4 $\pm$ 3.23	Moody	3/9 $\pm$ 1.95	Having tolerance

*Positive personality characteristics and patterns:* A total of 200 positive role models for students was introduced. Among the positive characteristics of the demographic variables of age, sex, and academic Status no statistically significant difference was observed. Mean and standard deviation Positive personality characteristics and patterns with a scale of 1 to 10 are given in Table 2. According to this table to the highest index of Positive personality characteristics and patterns related to having good morality (81/1%) Respect for a colleague (56/1%) Having higher education (45/3%) Excellent teaching (35/2) and Kindness (26/6%) and the lowest was related to the warning (5/2%) and having tolerance (3/9%).

Using cluster analysis, two groups were generated. The characteristics in group one were having good morality, all other characteristics were included in group two. The dissimilarity index among all characteristics was 10.01, and 12.26 and 8.33 among characteristics in group one and two, respectively. The considerably lower dissimilarity indexes within both groups indicated that the characteristics were allocated between these two groups appropriately. The lower index in group two demonstrated that those characteristics were much more correlated than those in the group one.

*Negative personality characteristics and patterns:* A total of 220 negative role models for students was introduced. Among the positive characteristics of the demographic variables of age, sex, and academic Status no statistically significant difference was observed. Mean and standard deviation negative personality characteristics and patterns with a scale of 1 to 10 are given in Table 2, According to this table to the highest index of negative personality characteristics and patterns related

to Blaming students (-89/2 %), Unkindness (-56/8 %), Absence of having higher education (-37/5 %) and Not respecting the students (-13/4 %).

Using cluster analysis, two groups were generated. The characteristics in group one were Blaming students, all other characteristics were included in group two. The dissimilarity index among all characteristics was 10.01, and 12.26 and 8.33 among characteristics in group one and two, respectively. The considerably lower dissimilarity indexes within both groups indicated that the characteristics were allocated between these two groups appropriately. The lower index in group two demonstrated that those characteristics were much more correlated than those in the group one.

The negative patterns, varying only in terms of academic status ( $P=. /027$ ) No significant difference was observed. In total two categories of positive characteristic and three categories of negative characteristic include moral and communication techniques, management skills and educational and scientific competence and character, for professional and non-professional models, were introduced. Also, the results showed that there is no significant relationship between positive and negative patterns were introduced and general characteristics of students.

#### **4. Discussion and conclusion**

This study showed that students' perceptions about the Positive personality characteristics and patterns of teachers include having good morality, Respect for a colleague, Having higher education, Excellent teaching, and Kindness, warning and having tolerance depend on Managerial competencies and training capacities<sup>[12]</sup> and negative personality characteristics and patterns of teachers include Blaming students, Unkindness, Absence of having higher education and Not respecting the students. If reduced, it can solve educational problems and improve the quality of education<sup>[13]</sup>. And also empower Managerial competencies and training capacities<sup>[14]</sup>. Quality teaching<sup>[15]</sup> is one of the main goals of the educational system in every country<sup>[1]</sup>. According to the above can become the teacher as a positive model for his students and also ignorance the above can become the teacher as a negative model for his students.

Positive and negative characteristics of teachers play a significant role in their popularity and their model of personality and professional and scientific aspects of them. In order to achieve the objectives of the education and higher education system, must be paid.

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# Improving Students' Capability for Innovation and Entrepreneurship via "Project-driven" and "Tutor-guiding" Research Training Strategy

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**Keywords:** Capability for innovation and entrepreneurship; Project-driven; Tutor-guiding; Undergraduate education; Research training.

**Abstract.** In this work, a systematic approach to improve the students' capability for innovation and entrepreneurship *via* "Project-driven" and "Tutor-guiding" research training strategy is discussed. A conceptual framework for organizing and executing "Project-driven" and "Tutor-guiding" undergraduates training systems is presented. Successful examples for the innovation and entrepreneurship training program have been presented in detail. Overall, a student-centered environment is proposed which aims to cultivate the students' innovative and practical abilities as well as individual talent.

## 1. Introduction

It is very important to improve students' capability for innovation and entrepreneurship, especially in the present era of innovation. Innovation has become the new core part of social, economic and political active ties. It is a historical trend that the innovation education adapted in the knowledge-economy era. Numerous studies and reports over the past 30 years have indicated the importance of undergraduates' research experience for their creative skill training, innovative ability cultivation<sup>[1-3]</sup>. As far back as 1989, a report on the National Science Foundation Disciplinary Workshops on Undergraduate Education noted: "It is clear that the academic community regards the involvement of undergraduate student majors in meaningful research ...with faculty members as one of the most powerful of instructional tools." This was followed in 1996 by publication of the National Science Education Standards: "Students learn such skills as observing, inferring and experimenting." Again in 2003, Bio2010: Transforming Undergraduate Education for Future Research Biologists stated, "To successfully undertake careers in research after graduation, students will need scientific knowledge, practice with experimental design, quantitative abilities, and communication skills. ...All students should be encouraged to pursue independent research as early as is practical in their education." In 2010, Dr. Jo Handelsman, Professor of Yale University, the editor-in-chief of the "DNA and Cell biology", wrote a preface for a special issue of this journal, entitled as "Not Science Fiction: Undergraduates Productive in Research"<sup>[4]</sup>. The special issue featured a collection of papers reporting on successful research projects in which undergraduate students played a significant role, such as, a paper submitted by Cristina Cardemil and colleagues from Swarthmore College (Pennsylvania) and DuPont Company (Wilmington, DE), describing the development of a bioluminescence-based test that used a bacterium to measure the amount of ammonia and phosphate in water samples. The researchers showed that this method yielded as good or better results as commonly used analytical chemistry test kits that had limited sensitivity. Prof. Jo Handelsman

emphasized that “novices bring a fresh perspective” and their “lack of entrenched bias can bring new insights to old problems.” “...and undoubtedly learned much in the process.”

In last decades, engineers in industry and government, along with university program leaders, have advocated student involvement for some time as an essential aspect of meaningful training for undergraduate innovation and entrepreneurship education. Educators have implemented several means of better engaging their undergraduate students, including active and cooperative learning, learning communities, service learning, cooperative education, inquiry and problem-based learning, and team projects <sup>[5, 6]</sup>. However, since lack of systematical research training, limits of laboratory slots, outputs of such training programs are not satisfied. In this paper, we focus on the discussion of “Project-driven” and “Tutor-guiding” researching training strategy for the cultivation of undergraduates’ innovative and practical abilities. Some examples for carrying out student-centered innovation and entrepreneurship training programs have been given.

## 2. “Project-driven” and “Tutor-guiding” strategy

The overall “Project-driven” and “Tutor-guiding” researching training strategy was shown in **Fig. 1**. Students are encouraged to write research training project proposals and discussed with their tutors and teammates. Five-level projects can be applied, *i. e.*, School student research training project (School-SRTP), College-SRTP, Municipality-Researching Training Project, Province- Researching Training Project, and State-Researching Training Project. From the proposal preparation to post-approval, a systematically research training would be carried out by their tutors. The projects can come from industry through the platform of industry and university or proposed by students after literature survey, or even simply generated by their bright idea. During the project executing, their tutors guided, from proposal writing, laboratory training to project summary, as shown in **Fig. 2**. These final results of projects can be either published as scientific paper or filed to patents and put forward to industry later on. Under such a system, undergraduates can receive comprehensive training and improve their innovative capability, shown in **Fig. 3**.

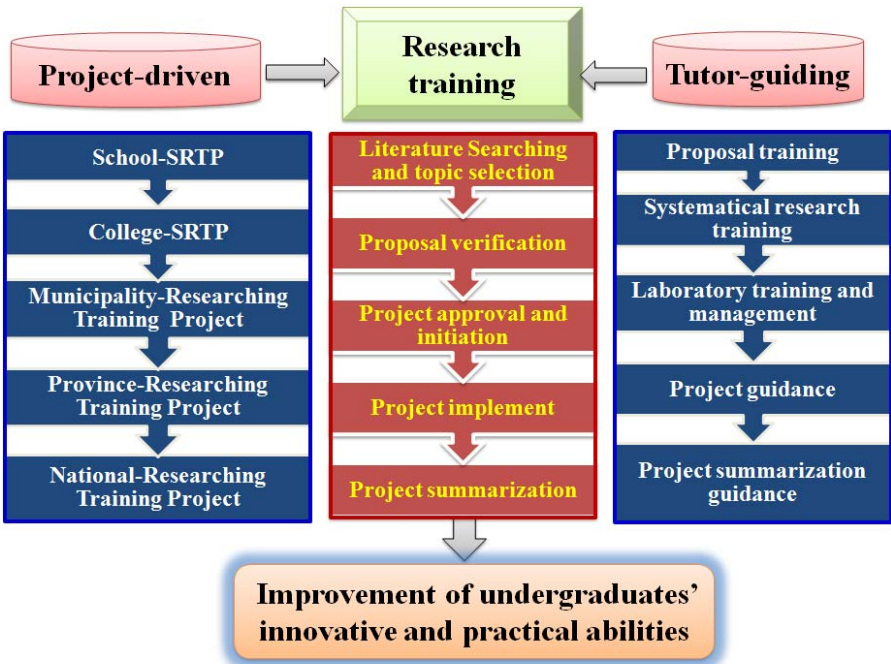


Fig.1 Framework of “Project-driven” and “Tutor-guiding” strategy

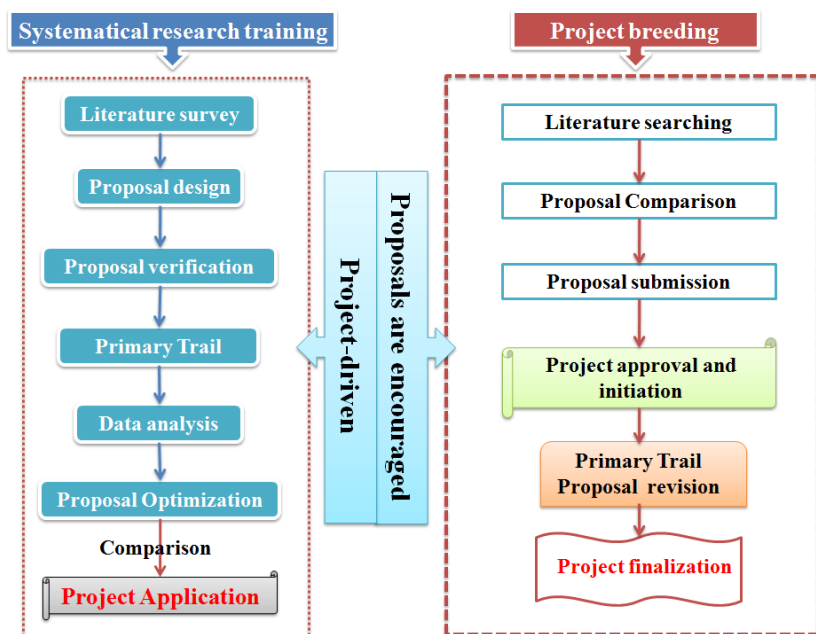


Fig.2 Project breeding under systematical research training

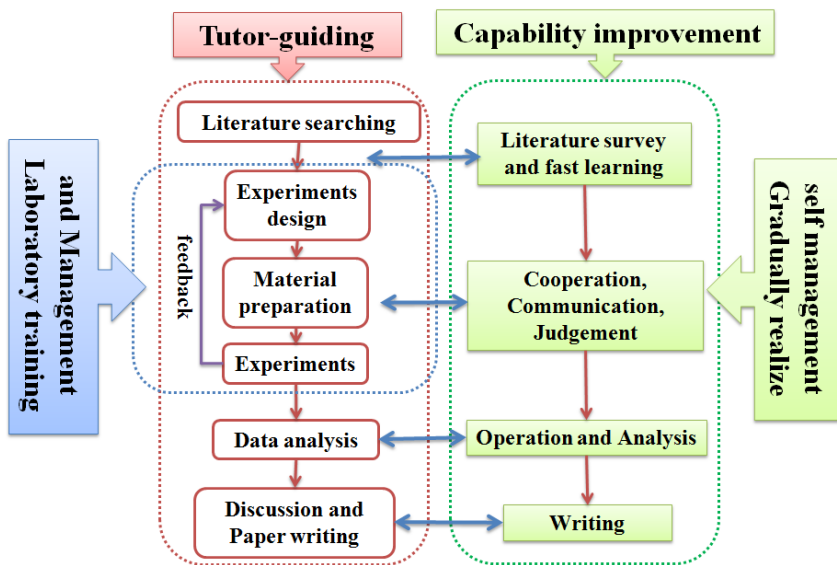


Fig.3 Innovative capability improvement under “Tutor-guiding” strategy

Under such a strategy, research training is not simply carried out by students as social activities but guided by their tutors. Active learning pedagogy, such as PBL, question-based comparison, team-working, presentation, reports are also undertaken. By executing real research project, a systematically research process would be experienced by students personally. Their abilities on writing, laboratory operation, presentation, *etc*, can be improved. This may stimulate their interest and reinforce their self-confidence, and finally shorten the gap of actual innovation requirement from industry from theoretical study in college.

3. Successful example

Under the framework of “Project-driven” and “Tutor-guiding” strategy, a series researching training projects have been proposed by undergraduates. Each project was guided by at least one tutor. In this way, students not only gained systematically scientific training, but also wrote some scientific paper and filed several patents. Typical examples are given as follows.

Example 1, Project-“Fast Analysis of Phthalic Acid Ester Compounds in Wine Samples” was firstly proposed by a group of students. After hearing the news of the plasticizer scandal in wine samples, they gained the idea to establish a fast analysis method to determine the plasticizer residue in wine samples. After they discussed with their tutor, they finalized their proposals. After a systematically scientific training by their tutor, they carried out experiments independently in their spare time. With several trials, they succeeded. Finally, they wrote two pieces of scientific paper and have two patents filed. **Fig. 4** gives some pictures of the outputs.

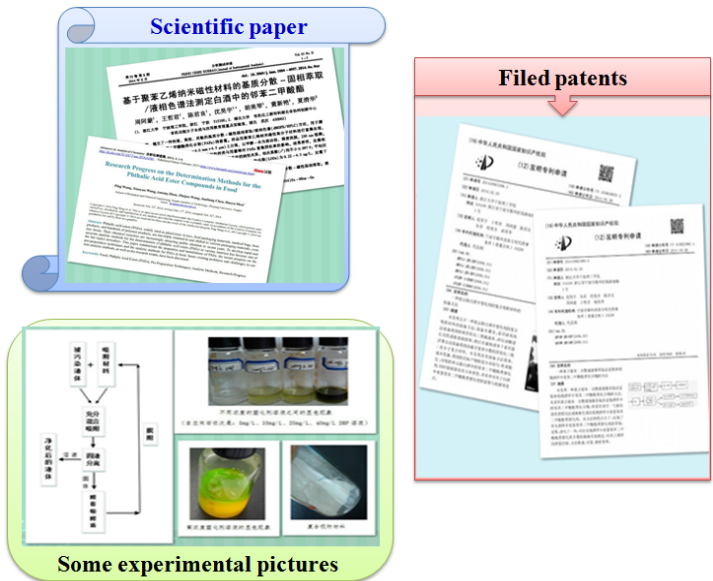


Fig.4 Some outputs of Example 1



Fig.5 Some outputs of Example 2

Example 2, Project-“Studies on the preparation of peanut shell cellulose and its adsorption properties on methylene blue in water” were firstly proposed by the students who saw too much used peanut shell was wasted. They wanted to regenerate this waste material. After a literature survey, and with the help of their tutor, they decided to use it as raw material to prepare peanut shell cellulose. After almost one year experiments, they obtained the cellulose with fully characterization. The peanut shell cellulose was used as adsorbent for the removal of methylene blue in water. Some favorable results obtained. One scientific paper has been published with one patent filed. **Fig. 5** gives some pictures of the outputs.

#### 4. Conclusion

“Project-driven” and “Tutor-guiding” strategy offers students opportunities to learn practical knowledge, to gain research experience, and, most importantly, to train and gain innovative and innovation and entrepreneurship capabilities. Under the conceptual framework for organizing and executing such a strategy, not only the students can be well trained, but also the relationship among teaching, learning and researching can be tightened. This project-based pedagogy can also meet the industry needs, without sacrificing knowledge of theoretical fundamentals. The use of “Project-driven” research experience learning, with the aid of “Tutor-guiding” as a key component of undergraduate programs should be promulgated widely.

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# On the Timely Feedback of Portfolio Assessment in the Situated Task-based Learning --Case Study of Business Correspondence Course

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**Keywords:** Business correspondence; International trade practice; Portfolio assessment; Situated Task-based learning; Students' engagement.

**Abstract.** This paper describes the application of portfolio assessment in the situated task-based learning, together with their research on the influence of the timely feedback to students' overall participation in the course. The enrolled students in Business Correspondence are required to fulfill certain writing tasks under the background of international trade practice. The portfolio assessment, which shows the progress of a student's achievement, is used as effective evaluation method in this situated task-based learning. Based on 3 years' course comments, we find out that the timely feedback is a necessity in practicing effective portfolio assessment, which strongly influences the students' overall engagement in the course.

## 1. Introduction

This paper reports how the portfolio assessment feedback with different duration influences students' engagement in the situated task-based learning. Under the modern education systems, the teaching preparation, teaching practice and teaching assessment is a complete systems, under which, the teaching, learning and testing should be planned and designed in one blueprint to achieve the best teaching result. Under the situated task-based learning, the students are required to fulfill certain business tasks that they might face in the future, through which the students pre-experience the real life scenario before their graduation.

Compared with the traditional method, the situated task-based learning is better in offering students' opportunity to practice what they have learnt. Under the situated task-base learning, the students are well exposed to the challenges they might face in the relevant field in the future. It is undeniable the existence of the backwash effect of the assessment to teacher' teaching and students' learning. The assessments should also be designed to imitate the real life situations to match the whole teaching process. Accordingly, the portfolio assessment, as an effective assessment to show the students' progress in certain field, should be applied together with the situated task-based learning. In this study, we intend to find out how the duration of feedback influences the students' overall engagement in the course. After the brief introduction of situated task-based learning and the portfolio assessment, the authors elaborate the application of the portfolio assessment in this situated task-based learning course—Business Correspondence, and its effective application—timely feedback.

## **2. Students' engagement in the situated task-based learning**

The so called "Situated Task-based Learning" (STBL) here refers to a teaching methodology through which students pre-experience a real life scenario under the teacher's arrangement and that the students might be well prepared for what they might face in their future job. The situated task-based on learning is an effective way of absorbing students' engagement and participation in the process of learning. Student engagement is acknowledged to be "a highly desirable goal with positive outcomes for all parties" (Bryson and Hand 2007:354). The students' engagement and participation is the core of modern teaching. Only when the students spare no efforts in their learning, should this teaching methodology be taken as an effective one.

The study on the portfolio assessment is never new in US, even though it is still not as popular as it should be in China. Portfolio assessment, as a widely adopted evaluation method for writing development, works as an effective tool to absorb students' engagement. Genesee and Upshur (1996) defined "portfolios" as a purposeful collection of students' artifacts created over time to display their efforts, growth and achievements to themselves, teachers, parents and other key stakeholders. Danielson Charlotte and Abrutyn Leslye (1997) divided the portfolios into three major types, they are working portfolios (collections of work in progress), display portfolios (also called showcase or best works), and assessment portfolios. These types are distinct in theory, but tend to overlap in practice. Students' engagement is achieved when they work through working portfolios, display portfolios and assessment portfolios in different teaching phases, especially, when the students know how to value their own work through portfolio assessment. Paulson, F. Leon (1991:p60-63) uses "portfolio" as an intersection of instruction and assessment. It is the collection and reflection aspects of portfolios that make them such a valuable assessment tool.

Compared with the paper examination, the portfolio assessments meet even better the requirement of the situated task-based on learning in the aspect of students' engagement. The situated task based on learning requires students to produce imaginative and creative work under certain situation, through which the students could create their works more diligently if their work would be used to evaluate their efforts in studying this course. The Portfolios assessments are used as a stimulus for the students to produce such imaginative and creative work. The development of portfolio might be cumbersome, labor-intensive, and time-consuming, while the portfolio assessment is a must in developing situated task-based on learning.

## **3. The effective feedback in the portfolio assessment**

As to the application of portfolio assessment, we might face the different challenges in different aspects, such as, the teachers' subjectivity in the evaluation of the portfolio, the variability in contents and construction of portfolios, and the lack of consensus on what a teacher should know and be able to do. Normally, the teacher's guidance or feedback to students' work plays an important role in the students' achievements. The teacher's feedback, however, might not work so well due to its vague content and its late delivery. Hounsell (2003) found that some students misunderstand guidance and feedback because they do not understand the professional assumptions and requirements of a particular subject. "Difficulties with knowing what was wanted" was one of the commonest complaints about assessment also identified by Hartley and Chesworth (2000). Hounsell (2003) found that comments made by tutors on work can be vague and cryptic. Students may not be able to understand quite how they went wrong or how to improve their situation from such comments. Also, the lateness of the teacher's feedback might be another reason to reduce the effectiveness of its functions. Hartley and Chesworth (2000)'s study shows that 59%of the respondents reported that feedback was received too late to be useful. Brown and Knight (1994) emphasize the importance of providing feedback rapidly whilst the responses are still relevant.

Assignment feedback is a central component of formal learning, because it helps students learn how to "monitor, evaluate and regulate their own learning" (Nicol, 2010). The effectiveness of feedback is achieved through the smooth communication between teacher and students, which

includes two aspects: the feedback delivery and the feedback acceptance. As to the delivery of feedback, the teacher should take several elements into consideration, such as, what is the content of the feedback, how to deliver the feedback, when to deliver the feedback, and what is the purpose of feedback. As to the acceptance of feedback, the students should have knowledge of standards, the necessity to compare these standards to one's work, and taking action to close the gap". (Taras, 2002) Under the whole learning process, the students' engagement is shown in their understanding of the rubric, comparing the difference between the rubric and their work, and improving their work.

In all, the effectiveness of feedback should be judged by, from the aspect of feedback delivery that whether teachers' feedback provides the useful information for students to improve their work, whether it is a proper way to provide the information, and whether the feedback is timely effective; from the aspect of feedback acceptance that whether the teacher and students share the same expectations of the assessment or the role of the feedback, and whether the students' portfolio improved based on the feedback communication or not.

## **4. Study**

### **4.1 Purpose**

The purpose of this study is to find out the answers to the following questions:

- 1) Is the situated task-based learning an effective teaching methodology, compared with the traditional lectures?
- 2) Is the portfolio assessment an effective assessment, compared with the traditional paper examination?
- 3) Does the different duration of feedback influence students' engagement in the portfolio assessment of the situated task-based learning?

### **4.2 Participants**

Six class of ECUPL students participated in this study. Those participants are enrolled students for Business Correspondence, and each class has attended Business Correspondence for one semester during year 2013 and year 2015.

### **4.3 Procedure**

Under the course Business Correspondence, the enrolled Chinese students are required to fulfill certain writing tasks under the context of international trade practice, ranging from establishing their own company, looking for certain potential customers, business negotiating (enquiry, offer, counter-offer), drafting sales contract, checking and amending L/C, preparing export documents to settling Disputes etc. The whole class is divided into 6-8 groups with 4 students working in one group, imitating a real life trade company. Each group emails other companies weekly in the aspects of business preparation, business negotiation and business fulfillment. They will c.c. their professor when they send out their business email. Those students are creating and making their portfolios during the whole semester, and they will improve their work based on the rubric, the guidance as well as the professor's feedback. In the end of the semester, those students are required to submit their portfolios to their professor. Portfolio assessment, which shows the progress of a student's achievement, is taken as a final evaluation in this situated task-based learning. Also, at the end of each semester, the students are required to score from 0-10 on Course Comments designed by the Campus Education Office of ECUPL.

- 1) *The professor is conscientious and diligent with his job. He/ She is in high spirits and full of energy. He/she is patient in answering students' questions and doubts.*
- 2) *The professor implements students' attendance policies strictly, keeps the class well organized and emphasizes the students' development of good study habits.*
- 3) *The professor has a standard English pronunciation; he/she focuses on the main points of*



*his/her lecture, and has a clear explanation of difficult points in his/her lecture.*

- 4) *The foreign materials are well chosen, which improve our understanding in the relevant course.*
- 5) *The professor offers us many opportunities in practicing what we learnt in his/her lecture, and trains our overall ability in English using.*
- 6) *The professor adopts many teaching methodologies and the teaching pace of the course is appropriate and acceptable.*
- 7) *The professor practices the interactive teaching in class and creates a smooth class atmosphere.*
- 8) *There is a fair balance between Chinese and English using in his/her lectures, the professor speaks English more than 50% of the class time.*
- 9) *I am interested in and enlightened by this course.*
- 10) *This course improved my ability in English using and broadened my international vision.*

--Adopted from <http://jwxt.ecupl.edu.cn/eams/home.do>

## 5. Analysis

According to their functions, the Course Comments can be classified into several parts: comments about the teachers' class organization (2\5\6\7), comment about the teaching material (4), the comments about the teachers' capabilities (3\8), comment about teachers' teaching attitude (1) and comments about teaching result (9\10). As the whole teaching process in Business Correspondence is designed as the situated task-based learning, the enrolled Chinese students are required to fulfill certain writing tasks under the context of international trade practice. They have gathered and made portfolios based on the professor's feedback and submitted their final portfolios for assessment. Here, the teaching, learning, and testing are combined with each other to achieve the best teaching result. The assessment tasks of portfolios are achieved through well-designed performance tasks. Based on the data of Course Comments from 2012-2014, we found out the answers of the following questions.

1) Is the situated task-based learning an effective teaching methodology, compared with the traditional lectures?

Yes.

During the 6 semesters from 2012 to 2014, we have adopted situated task-based on learning and portfolio assessment in the course of Business Correspondence. Based on the data (Table 1) we gathered, we found that the students' overall score of Business Correspondence was above 99. The scores of the first 2 semesters are 99.93 and 100, much higher than the following 4 semesters, scoring 99.19, 99.00, 99.08 and 99.23 respectively. Compared with the other courses opened on Campus, we found that Business Correspondence ranked above the other average courses. Thus, we might conclude that the situated task-based learning is a teaching methodology well accepted by the students, compared with the traditional lectures.

Tab.1

Semester	Course Code	Course Name	Score	University Rank	SFL Rank*	Students
2012-2013 1	0080252	Business Correspondence	99.93	24/773*	3/114*	37
2012-2013 2	0080252	Business Correspondence	100.00	1/733	1/121	22
2013-2014 1	0080252	Business Correspondence	99.19	205/824	31/167	30
2013-2014 2	0080252	Business Correspondence	99.00	246/793	38/140	24
2014-2015 1	0080252	Business Correspondence	99.08	273/817	49/157	56
2014-2015 2	0080252	Business Correspondence	99.23	232/842	38/150	51

Note: sources: <http://jwxt.ecupl.edu.cn/eams/home.do>

University Rank: 24/773 means the performance of course Business Correspondence is listed the 24<sup>th</sup> among 773 courses of the whole universities.

SFL Rank= The course rank in the school of Foreign Languages

3/114 means the performance of course Business Correspondence is listed 3<sup>rd</sup> among 114 courses of the school of Foreign Languages

Through the situated task-based learning, the students show their interest in Business Correspondence, and their ability in using English has been improved. The comments about teaching achievements are No.9 (I am interested in and enlightened by this course.)(See Table 2) and No. 10 (This course improved my ability in English using and broadened my international vision.) (See Table 3).Under the comment No. 9, Business Correspondence scored higher than the other Campus courses, except for the semester 2014-2015 (1) and the semester 2014-2015 (2). Under the comment No 10, Business Correspondence score higher than other campus course except the last 3 semesters. The questions here we might have is why the situated task based on learning was so successful in the first 2 semesters, turned out to be not so popular at the end three semester? We will find the answer at the last question.

Tab.2

Semester	Comments	BC	C/SFL	C/U
2012-2013 (1)	I am interested in and enlightened by this course.	10.00	9.70	9.64
2012-2013 (2)	I am interested in and enlightened by this course.	10.00	9.62	9.63
2013-2014 (1)	I am interested in and enlightened by this course.	9.93	9.71	9.70
2013-2014 (2)	I am interested in and enlightened by this course.	9.91	9.87	9.61
2014-2015 (1)	I am interested in and enlightened by this course.	9.84	9.86	9.74
2014-2015 (2)	I am interested in and enlightened by this course.	9.82	9.90	9.72

Note: sources: <http://jwxt.ecupl.edu.cn/eams/home.do>

BC=Business Correspondence

C/SFL= Courses of School of Foreign Languages

C/U Courses of the whole University

Tab.3

Semester	Comments	BC	AS/EFL	AS/U
2012-2013 (1)	This course improved my ability in English using and broadened my international vision.	10.00	9.74	9.65
2012-2013 (2)	This course improved my ability in English using and broadened my international vision.	10.00	9.74	9.65
2013-2014 (1)	This course improved my ability in English using and broadened my international vision.	9.85	9.74	9.72
2013-2014 (2)	This course improved my ability in English using and broadened my international vision.	9.91	9.92	9.67
2014-2015(1)	This course improved my ability in English using and broadened my international vision.	9.84	9.86	9.78
2014-2015(2)	This course improved my ability in English using and broadened my international vision.	9.91	9.94	9.72

Note: sources: <http://jwxt.ecupl.edu.cn/eams/home.do>

BC=Business Correspondence

C/SFL= Courses of School of Foreign Languages

C/U Courses of the whole University

2) Is the portfolio assessment an effective assessment in situation task-based on learning, compared with the traditional paper examination?

Yes.

Situation task-based on learning is to put students in certain situation and prepare them to face the challenges in the future. Students practice more what they have learnt in the situation task-based on learning compared with the traditional lectures. And there is undeniable existence of the backwash of the assessment to the teachers' teaching and students' learning; the different assessments are to influence students' participation and engagement in the course. (See Table 4) Comments about teacher's class organization: No.5 The professor offers us many opportunities in practicing what we learnt in his lecture, and trains our overall ability in English using. The students' score of Business Correspondence is higher than the other Campus courses except the semester 2014(1) and 2015 (2). The same questions might have here as what happened at the last two

semesters, as to which we would find its answer in the last question.

Tab.4

Time	Comments	BC	AS/SFL	AS/U
2012-2013 (1)	The professor offers us many opportunities in practicing what we learnt in his lecture, and trains our overall ability in English using.	10.00	9.78	9.70
2012-2013 (2)	The professor offers us many opportunities in practice what we learnt in his lecture, and trains our overall ability in English using.	10.00	9.69	9.68
2013-2014 (1)	The professor offers us many opportunities in practice what we learnt in his lecture, and trains our overall ability in English using.	9.85	9.75	9.72
2013-2014 (2)	The professor offers us many opportunities in practice what we learnt in his lecture, and trains our overall ability in English using.	9.91	9.88	9.64
2014-2015 (1)	The professor offers us many opportunities in practice what we learnt in his lecture, and trains our overall ability in English using.	9.92	9.92	9.80
2014-2015 (2)	The professor offers us many opportunities in practice what we learnt in his lecture, and trains our overall ability in English using.	9.95	9.95	9.76

Note: sources: <http://jwxt.ecupl.edu.cn/eams/home.do>

BC=Business Correspondence

C/SFL= Courses of School of Foreign Languages

C/U Courses of the whole University

3) Does the different duration of feedback influence students' engagement in situated task-based learning, and thus influence the students' overall comments on the course?

Yes.

During the whole teaching period of Business Correspondence from 2012 to 2014, there are same basic teaching elements: the same professor, the same sources of students, the same materials, the same teaching methodology—situated task-based on learning, and the same assessment—portfolio assessment. The only difference here is the different individuals and the different duration of feedback. In the first 2 semesters-- the semester 2012-2013(1) and semester 2012-2013(2), the duration of the feedback is 1 day; in the second 2 semesters-- the semester 2013-2014(1) and the semester 2013-2014(2), the duration of the feedback is 5 days; in the third 2 semesters--semester 2014(1) and semester 2014(2), the duration of the feedback is 8 days.

Based on the teaching practice, we found that the different duration of feedback involves the different students' engagement and thus influence the students' overall comments on the course. In the first 2 semesters, when the students received the feedback within one day, they had this sense of focus from professor, and they work harder to maintain teachers' attention. They submitted their assignments quickly and followed the rubric carefully. The smooth and fast communication between the teacher and the students arouse the students' interests in creating their portfolios. Thus, they spared no efforts in improving their work. During the whole process, the students had the sense of achievement, and they were involved deeply in fulfilling their tasks. Accordingly, they score this course much higher than the other Campus courses.

In the second 2 semesters, the students received their feedback within 5 days, i.e. they received the feedback before when the course started the next week, and they had time to review the professor's feedback to improve their work. All the students received the same rubric, while only 2/3 students reply and improve their work immediately; the rest of students did not show much interest in improving their work carefully.

In the third 2 semesters, the students received their feedback after the next week's course. Even though the students receive the same rubric, they did not show much interest in improving their work. Only half of the students replied to the teacher's feedback immediately and improved their work carefully.

## 6. Conclusion

This paper describes the application of portfolio assessment in the situated task-based learning in the course of Business Correspondence, together with the research on the influence of the timely feedback to student's overall interests in the course. This study emphasizes that the portfolio assessment, which shows the progress of a student's achievement, should be taken as an effective evaluation tool in the situated task-based learning. And, the timely feedback is a necessity in practicing effective portfolio assessment, which influences the student's overall interests and engagement in the course.

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## Refining Teachers' Role in Cooperative Learning ----A Case Study of an Interpreting Course

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**Keywords:** Cooperative learning; Teachers' role; Interpreting course.

**Abstract.** As a supplement to traditional classroom learning, cooperative learning provides more opportunities for students to practice and get feedback, which is helpful for enhancing students' active learning and communication skills. However, using cooperative learning after class does not mean the teacher transfers all control to the students and thus becomes a redundant part of the learning process. The success of cooperative learning depends largely on the role the teacher plays. From the experience of teaching the interpreting course and the study of literature about teachers' role, we find that teachers no longer play the traditional roles like information provider, knowledge transmitter, guide, assessor, course designer, mentor, organizer, or decision maker. To ensure the success of cooperative learning, the teacher plays the multiple role of the designer, the role model, the facilitator, the advisor and the monitor.

### 1. Introduction

The past 30 years has seen a tremendous increase in the use of cooperative learning in different courses. Many scholars have studied the benefits of cooperative learning. However, simply putting students in small groups does not ensure the success of cooperative learning. Using formal cooperative learning groups at the college level requires planning, monitoring of students' learning. The teacher's traditional roles as information provider, knowledge transmitter, guide, assessor, course designer, mentor, organizer, or decision maker need to be redefined in order to adapt to the new mode of cooperative learning. This study explores the multiple and changing roles teachers play in improving the effect of cooperative learning in the interpreting course.

### 2. The definition of cooperative learning

Kagan (1992) defines cooperative learning as the group learning activity which is organized so that learning is dependent on the socially structured exchange of information between learners in group and each learner is accountable for his or her own learning and is also motivated to enhance the learning of others". Johnson, Johnson and Holubec (1993: 5) consider Cooperative Learning as "Cooperative learning is the cooperation through working together to accomplish the shared goals. Cooperative learning is the instructional use of small groups so that students work together to maximize their own and each other's learning". Paul Vermette (1998: 5) defines cooperative learning by saying "Cooperative learning is not just a strategy, part of a bag of tricks. It is also a philosophy, one in which the teachers see the class as a learning community that serves itself as it helps each and every member.

### **3. Researches on cooperative learning**

Interest in cooperative learning gathered momentum in the early 1980s with the publication of the first meta-analysis involving 122 studies on the effects of cooperative, competitive, and individualistic goal structures on students' achievement and productivity in a sample of North American schools (Johnson, Maruyama, Johnson, Nelson, & Skon, 1981). The results showed that cooperation was more effective than interpersonal competition and individualistic efforts; and cooperation with intergroup competition was also superior to interpersonal competition and individualistic efforts. The results of these studies were consistent for all age groups, across all subject areas (language arts, reading, mathematics, science, social studies and physical education), and for all tasks involving conceptual understanding, problem solving, categorizing, and reasoning.

In a similar vein, Slavin (1990) reported on a best-evidence synthesis of 60 studies across both elementary and secondary schools that compared cooperative learning with control groups studying the same material. The results showed that the overall effects of cooperative learning on achievement were clearly positive in 72% of the comparisons whereas only 15% favored control groups with 13% recording no significant differences. These findings led Slavin to conclude that cooperative learning can be an effective strategy for increasing student achievement.

In summary, the results of these meta-analyses (Lou et al., 1996, 2001, 2006) indicate that students derive both academic and social benefits when they work cooperatively together rather than when they compete or work individually. Students are likely to achieve more when they work in groups of four or less members, preferably in mixed-ability groups rather than homogeneous groups, and when they work on tasks that require them to cooperate or tasks where students are interdependently linked so they are required to interact and share resources (Cohen, 1997).

Previous researches on cooperative learning identify several behaviors that significantly predict student learning. These reports focus on student behavior to understand why, for example, large numbers of students are unsuccessful in obtaining explanations or applying help received, leaving unexplored the role that teachers play in influencing cooperative learning.

Although previous research yields much information about which student behaviors impact learning, little research explores the role that the teachers play in influencing small-group interaction, especially in interpreting courses. This study examines the impact of teacher on the behavior and achievement of students in the context of cooperative learning in interpreting courses.

### **4. Problems in the traditional classroom teaching of interpreting**

Studies have shown that teacher-centered, whole-group instruction fails to provide for the individual needs of students. The tendency of large-group teaching to proceed at a more or less predetermined rate, using the same course material can not accommodate all students equally well. As a result, some students may lose interest in activities they have already mastered, while others will have difficulty keeping up with the rest of the class. In the traditional classroom teaching of interpreting, interpreting exercises are usually organized by the teacher, in which students listen to a speech chosen by the teacher, and interpret it into the target language after listening. In consecutive interpreting, the teacher chooses one student to interpreter in front of the whole class, or record everyone's interpreting performance, then pick one or two to listen to and give comments. Students in the same class may have different strengths in terms of interpreting competence. Some students are relatively good at listening, while others may be good at expression. Some students have better short-term memory, while others are more skillful in note-taking. One serious problem with this way of teaching is when they listen to the same speech and carry out interpreting practice at the same pace, different students will probably have difficulties in different aspects. And the teacher couldn't address all these difficulties at a time. Only a few students have the opportunity to get comment and feedback from the teacher. Another major problem is that students could not get enough practice to make any visible progress in interpreting competence. Interpreting training is

supposed to be a practice-oriented and student-centered process. It is difficult to ensure the engagement of each student in traditional teaching.

In the traditional classroom teaching, teachers assume primary responsibility for solving the problem, having students only provide answers to discrete steps. Teachers rarely encourage students to verbalize their interpreting process or to ask questions about their difficulties. This is not conducive to the development of meta-cognitive skills, which involves awareness of how they learn, an evaluation of their learning needs, and how to generate strategies to meet these needs. Moreover, the dominating figure of a teacher prevents many students from taking full advantage of the learning opportunities available and leads to the relatively passive behavior of students.

## **5. The application of cooperative learning to interpreting classes**

Cooperative learning is the instructional use of small groups so that students work together to maximize their own and each other's learning. Considerable research demonstrates that cooperative learning produces higher achievement, more positive relationships among students, and healthier psychological adjustment than do competitive or individualistic experiences.

Interpreting is a communicative act in which the interpreter transfers accurately and quickly what is expressed in one language into another language in order to convey the message. It is a basic linguistic tool that people depend on in cross-cultural communication (Mei Deming, 2000: 6). The characteristics of interpretation imply that it takes a lot of practice to achieve interpreting competence. However, this is in conflict with the usually limited class hours of the interpreting course. If the lack of interpreting practice could not be solved properly, it would be almost impossible to improve students' interpreting competence.

### **5.1 From in-class to after-class cooperative learning**

Initially, cooperative learning is a classroom instructional approach. Up till now, it has been widely used in different stages of education both at home and abroad. But the application is mostly limited to in-class activities in courses like writing or translation. This study tries to use cooperative learning in after-class activities and examines the new role the teacher plays to promote students' autonomous learning.

In the cooperative learning activity designed for the interpreting course, students carry out autonomous learning in groups of three or four after class. Each member of the group plays a different role in the group, including a speaker, one or two interpreters and a reviewer. The speaker needs to prepare a short speech in advance. In the cooperative learning activity, the speaker gives the speech, while the interpreter needs to interpret the speech into the target language. The reviewer's task is to comment on the speaker and interpreter's performance, pointing out the possible mistakes and highlighting any strength. At the end of the group activity, members will pool their wisdom to find solutions to the problems in the speaking and interpreting activity. Group members take these roles by rotation.

### **5.2 Teachers' belief about their role in the cooperative learning**

In the traditional approach to language learning, the teachers play the roles of information providers, knowledge transmitters, supervisors and assessors, whereas the students are learners, participants, and respondents.

The increasing emphasis on student autonomy has moved the centre of gravity away from the teacher and closer to the student. Indeed it has become increasingly fashionable to talk about learning and learners rather than teaching and the teacher. This increased attention to the learner may be seen by some teachers as a loss of control and power which can lead to feelings of uncertainty, inadequacy and anxiety (Bashir 1998). The shift may even be seen as, in some way, a devaluing of the role of the teacher. The changing role of the teacher may even cause unease among those entrenched in traditional approaches to education. However, it has to be recognized that this is not true, that teaching and learning are closely related and that the ultimate purpose of teaching is to

enhance learning. Therefore, it is very important to ensure that the changing role of the teacher is not neglected in discussions about new educational strategies and approaches to curriculum development. Teachers themselves have to identify with and embrace the new roles expected of them.

## **6. The teachers' role in promoting cooperation among students**

While studies on cooperative learning prove that working collaboratively with others can increase achievement (Slavin, 2014), it is also clear that not all behavior is equally effective for learning (Bossert, 1988-1989; Webb & Palincsar, 1996). Simply putting students in small groups will not guarantee that they will interact with each other in ways that benefit learning. Teachers play a key role in establishing cooperative learning experiences. Therefore, they must know which processes promote learning and how to encourage students and evaluate their performance.

It is well recognized that students do not necessarily cooperate during group work. Johnson and F. Johnson (2009) propose that groups need to be established so that the five key components of successful cooperative learning are embedded in their structure: establishing positive interdependence among group members; facilitating promotive interaction; encouraging individual accountability; explicitly teaching the appropriate social skills; and, encouraging groups to reflect on both the processes involved in managing the task and interacting with their peers.

Drawing on these five key components of cooperative learning and our experience of teaching an interpreting course, we establish a model of teachers' role in organizing cooperative learning activities. The five roles are identified from two sources: 1) from an analysis by the author of the tasks expected of the teacher in the design and implementation of an interpreting course; 2) from the literature relating to the roles of a teacher identified in language learning.

### **6.1 The designer**

One of the important roles the teacher should play is the designer of the cooperative learning activities. To ensure the success of such activities, the first thing the teacher needs to do is to design the group activities by planning activities, setting goals and rationale, establishing rules and principles, and developing criteria for evaluation. The teacher should make sure that every student understand the design, either written or unwritten. In the interpreting course the author taught, the author gave students instructions on how they were supposed to carry out group activities after class by being the speaker, interpreter or reviewer.

### **6.2 The role model**

Students unfamiliar with cooperative learning might become confused about what they are supposed to be doing, or even miss opportunities for learning altogether, and fail to develop the skills expected of them. Our experience with the interpreting course shows the teacher can solve this problem by being the role model in the activities. In order to make each student understand what the teacher expects them to do, the teacher could organize a demo group activity in class, in which the teacher plays a certain role. For instance, the teacher might be the reviewer, while other students in the group might be the speaker and the interpreter. The teacher takes notes of their performance, while the speaker is giving the speech and the interpreter is doing interpretation. After the speaker and the interpreter finish their tasks, the teacher gives comments and points out problems in their performance. The teacher could also raise questions to the speaker to confirm the meaning of certain parts of the speech, or ask the interpreter to explain his decision in interpreter certain segments. By being the reviewer in the group activity, the teacher shows clearly to students what they are expected to do if they play the role of a reviewer in the cooperative learning activity, cause they have a role model to follow.



### **6.3 The facilitator**

Another key component for successful cooperative learning is promotive interaction or the willingness of group members to encourage and facilitate each other's efforts to complete their tasks in order for the group to achieve its goal. Johnson and Johnson (1990) noted that promotive interaction is characterized by students: providing each other with the help they need; sharing needed resources; providing effective feedback to group members on their performances on specific tasks; challenging other's conclusions and reasoning in order to promote clearer insights into the problem issue; and, working constructively together to attain mutual goals.

However, it has been found from teaching the interpreting course that hostility among students could undermine productive group work, and group work may even dissolve into independent work without student collaboration. In fact, groups often implode because they lack the interpersonal skills required to manage disagreements among group members. Therefore, the teacher need to be the facilitator by introducing norms for group behavior, social skills to use in small groups: checking for understanding, sharing ideas and information, encouraging, and checking for agreement (Johnson, Johnson, & Holubec, 1993). Explicitly teaching the appropriate social skills and helping students develop basic communication skills while working on problems in small groups could help them learn how to interact with others and to work effectively in small groups. And that is the fourth key component in successful cooperative learning.

### **6.4 The advisor**

Apart from telling students why we're doing the groups, why they are productive and valuable, the teacher also needs to give students advice to help students realize the value of active participation compared to only observing others, to reinforce the importance of reciprocal communication, and to show the importance of question asking, as well as question answering. Students come across many difficulties in accomplishing tasks of group activities in the interpreting course. Being the speaker in the group, some students could not find appropriate materials for preparing a well-organized speech. Being the interpreter, some students find it difficult to understand the speech or render its meaning in the target language. Being the reviewer, some students do not know how to analyze others' interpretation. If these problems are not properly solved, there would be no success of cooperative to talk about. Some of these problems might be solved through discussion among group members, while the solution of others needs the advice from the teacher.

### **6.5 The monitor**

Autonomous learning and cooperative learning does not mean that the students shoulder all responsibilities of their learning and that they are expected to do everything on their own. In fact, the teacher has to maintain a strong presence throughout the cooperative learning activity, through whole-class introductions to the cooperative learning tasks and interactions with specific groups once the group work starts. The teacher acts as a monitor of the group activity to make sure both individual accountability and group processing are accomplished, which are key components of successful cooperative learning. Individual accountability is one's responsibility in ensuring that he or she completes his or her share of the work while also ensuring that others complete theirs, while group processing involves students reflecting on their progress and their working relationships. By structuring positive interdependence among group members, the teacher not only can hold students personally responsible for completing their part of the task and ensuring that their contributions can be clearly identified, but also make students feel responsible for facilitating others' efforts

## **7. Summary**

Cooperative learning is helpful for enhancing students' active learning and communication skills by providing more opportunities to practice interpreting and get feedback for them. Therefore, cooperative learning could serve as a supplement to traditional classroom learning. However, using

cooperative learning after class does not mean the teacher transfers all control to the students and thus becomes a redundant part of the learning process. The success of cooperative learning depends largely on the role the teacher plays. From the experience of teaching the interpreting course and the study of literature about teachers' role, we find that teachers no longer play the traditional roles like information provider, knowledge transmitter, guide, assessor, course designer, mentor, organizer, or decision maker. To ensure the success of cooperative learning, the teacher plays the multiple role of the designer, the role model, the facilitator, the advisor and the monitor. Future research could investigate how teachers' beliefs, instructional practice, and communication about expected student behavior, may influence the quality of the cooperative group functioning and, consequently, student learning.

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## **Chapter 2:**

# **Teaching Research and Training**



# Study on Constructing Foreign Language Learning Performance Model

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**Keywords:** College English; Exploratory factor analysis; Foreign language learning performance; Empirical study.

**Abstract.** In order to construct Foreign Language Learning Performance (FLLP) Model in Chinese situation, this study firstly compiled the questionnaire of FLLP based on related theories and literature. Data collected from the questionnaire on different English learning groups in colleges were analyzed through the exploratory factor analysis. The result reveals that FLLP model is composed of four factors: language knowledge acquisition, learning motivation, capability of using language and ability to adapt to the learning environment.

## 1. Introduction

In recent years, China's Ministry of Education has been implementing innovation in college English teaching based on web-based multimedia, with new guideline for College English Teaching put forward in 2015 as the milestone; moreover, colleges of different levels in this country are now investing heavily in teaching hardware and software, for example, building modern self-access foreign language learning centers in university and development software and programmes for college students and teacher in their learning and teaching. It is safely to say that in China the web-based multimedia environment for college English teaching has come to being, and web-based multimedia teaching practice has already taken shape. However, in economic epoch we will inevitably concern how much social and economical benefits such huge amount of manpower and financial investment would bring to the English learners, that is, how is learners' foreign language learning performance in their output? What are the connotation of foreign language learning performance (FLLP for shortened) in this circumstances?

The emphasis of the study on FLLP abroad has evolving from examining language proficiency including learners' mastery of grammar and vocabulary and pronunciation in the early times to today's assessing such aspects as language competence, communicative competence, learning strategy, learning attitude, and cultural awareness in learners, which witnesses the diversification in FLLP and the comprehensive consideration of various dynamic factors in language learning (Shi & Franklin 2014; Stephens 2009; Cui Xiaoxia 2009; Selmer 2006). Besides, literature review shows that FLLP assessment methods have also been transferred from summative assessment to mixed use of formative assessment, summative assessment and self-assessment in web-based multimedia environment; in addition, the assessment, which was done mostly by teachers in early times, is now involved with teachers, learner themselves, peers, portfolio and so on (Lam,2015).

However, the study on FLLP in web-based multimedia environment in China is still at its infancy, for many problems remained unsolved. Firstly, the definition of FLLP is confusing but not scientific. Owing to the long-term influence of examination-oriented education in China, FLLP is still synonymous with "test result" in numerous studies in literature, and scores are practically the unique index in English learning assessment. Researchers haven't paid enough attention to formative factors such as students' ability to communicate, to adjust to web-based multimedia

environment in language learning and to learn autonomously, which would result in learners' lack of motivation, learning mechanically, and test-taking-orientation rather than application-orientation. Obviously, this will go against the ultimate purpose of language learning (McNamara & Ryan 2011). Secondly, the essential characteristics of FLLP have yet remained uncovered. Researchers tend to take a static and linear, rather than dynamic and nonlinear, perspective to view FLLP, and their studies mostly focus on proficiency of students' language but ignore the process of their language learning (Larsen-Freeman & Cameron 2008). As a result, many factors in language learning have been excluded subjectively. Thirdly, the methods of FLLP research should be improved. The findings of the empirical studies could not be convincing and safely generalized in that they were mostly conducted in the laboratory context.

Thereupon, it would be reasonable and seasonable to conduct a study to empirically define FLLP in a scientific way, that is, including the relevant factors as many as possible and in a natural situation. Under the guide of the theories of foreign language teaching and related linguistic theories, this study is to construct a FLLP model for college English in web-based multimedia environment on the basis of the studies in the literature and college English teaching and learning practice in China.

## **2. Theoretical framework of FLLP study**

Language is a complex and dynamic system, as is true to language learning (Larsen-Freeman 2015). Only under the guide of systematic perspective and judging from the factors such as learning objects, managing method, motivation, and environment, would the FLLP theoretical framework be convictive in comprehensively analyzing the problems, in guiding learning practice better. Therefore, the theoretical framework of FLLP is also a theory system involving various related theories.

**Constructivism learning theory** The study of FLLP will be systematically conducted by constructivism learning theory in the aspects such as learners, learning environment and even performance assessment. The main points of this theory are summarized as follows: cognition is formed in the interaction between cognitive subject (learners) and objective environment (social cultural environment and natural environment); cognition's development is obtained by learners' meaningfully constructing the cognition structure all the time; constructing process develops in a helical circle (Graves 2008). From constructivism learning theory, it is indicated that language learners should learn "how to learn" more than "what to learn", should focus on not only "knowledge" but more importantly "application" of the knowledge.

To put it more specifically, students are the initiative constructors of knowledge and meaning, and the knowledge provided by textbooks should become the object of the students' initiative meaningful construction, while web-based multimedia functions as situation creator and the process of students' knowledge construction should demand more attention in the assessment.

**Meta-cognitive strategy theory** Meta-cognitive strategy theory is a set of top management strategies and involves strategies of learning plan, implementation, introspection, evaluation and adjustment. To put it more specifically: ① plan strategy: to determine learning target, to predict the important and difficult points, to analyze how to accomplish task and to arrange the learning time; ② monitoring strategy: to monitor whether the learner himself has successfully acquired the required contents or not, whether he has focused attention enough or not, whether his learning strategy is proper or not, whether he has practiced autonomous learning as scheduled or not, and so on. ③ assessment strategy: to assess the difficulty of the learning material, implementation of learning plan, the improvement in learning process and existing problems and so on (O'Malley & Chamot 1990). In web-based multimedia environment, meta-cognitive strategy would be instructive for students to select learning strategies, learning resources, to control the learning process, and to assess learning performance, for the purpose of shaping real autonomous learners of lifelong learning.

**Learners' autonomy theory** Autonomous learning ability refers to learners' "the ability to take charge of one's own learning" in learning process (Holec 1981). In this study, autonomous learning ability is the important parameter to measure foreign language learners' ability. Autonomous learning ability can be specified as follows: ① learners depend completely on themselves in learning; ② learners can acquire and use a whole set of skills in the learning process; ③ learners would take the responsibility for his own learning; ④ learners have the right to set his own learning target. Obviously, autonomous learning ability is the most important ability for learners in web-based multimedia environment.

**Definition of FLLP** The measurement of learning performance could be estimated by the function put forward by Einhorn & Hogarth (1981) and Libby (1983):

$$P=K \times (M \times A \times E)$$

In this formula, P stands for performance, K for knowledge, M for motivation, A for ability and E for environment; this function indicates that performance of the worker in question is judged and determined by not just his knowledge, but also by his motivation, ability and the environment he is working in.

By referring to these theories, FLLP in this study is defined as "the ability to acquire knowledge of foreign language and the ability to put that knowledge into practice". This definition tends to made prominent the procedural features: FLLP includes not only the mastery and storage of foreign language knowledge, but the ability to use language flexibly, social communicative competence and the ability to adapt to the environment in learning.

### 3. Research methods

#### 3.1 Designing of pre-test questionnaire

Considering FLLP is a dynamic complex system which covers a set of processes ranging from learners' plan to monitoring and to assessment, the study selected six groups of subjects as the providers of college students' FLLP pre-test questionnaire items, with the hope that these groups can reflect various phases and dimensions in FLLP more comprehensively. They are: sophomores, juniors and seniors, the newly-graduated who have just begun their work, human resource managers in companies, college English teachers, and English teaching researchers, with 30 individuals in all. Interviews and open questionnaire based on the theoretical framework were designed, asking the interviewees to offer about five items related with FLLP in web-based multimedia environment. Consequently, 147 primitive items were collected.

Based on analyzing and systemizing of the collected primitive items, and taking into consideration the repeatability of expressions and the practice of college English teaching, a pretest questionnaire containing 33 items was compiled by referring to the related literature (Li Li, Chen Zhi'an et al 2006, Wen Qiufang, Wang Lifei 2004) and the definition FLLP of college English in this study. The questionnaire requires the subjects to select their attitude expressed in a Likert-type 5-point scale ranging from 1 to 5: 1 = never or almost never like me; 2 = usually not like me; 3 = somewhat like me; 4 = usually like me; 5 = always or almost like me.

#### 3.2 Pre-testing to work out formal questionnaire

55 subjects were selected at random to do the pre-test questionnaire from the sophomores, juniors, and seniors in a university of engineering in China. 49 questionnaires were collected valid. Project analysis was conducted to the collected data in order to confirm the identification degree of the questionnaire items and to rule out the improper items. It was done as follows: first, ranked the first 25 percent of high score as the high-score group and the last 25 percent of low score as the low-score group. Using SPSS software, independent samples T-tests were employed to test whether there was difference between the two groups of data. Parts of the results are shown as follows:



Tab.1 Pre-test questionnaire independent-sample T test (part)

		Levene's Test for Equality of Variances		T-test for Equality of Means						
		F	Sig.	t	df	Sig. (2-tailed)	Mean Diff.	S. E. Diff.	95% Confi. Interval of Diff.	
									Lower	Upper
an1	Homoscedasticity	1.361	0.248	7.675	59	0.000	1.9881	0.2590	1.4698	2.5065
	Heterocedasticity			7.724	58.952	0.000	1.9881	0.2574	1.4731	2.5032
an2	Homoscedasticity	6.267	0.015	7.538	59	0.000	1.514	0.2009	1.1121	1.9159
	Heterocedasticity			7.455	53.531	0.000	1.514	0.2031	1.1067	1.9213

By investigating the significant probability (Sig.) of Levene test, how the homoscedasticity is can be judged and the significant probability of two-tailed t can then be confirmed. If the significant probability is less than .05, then the item under question has identification degree; or in the range discriminant value 95% Confidence Interval of Difference, if 0 is not concluded in confidence interval, then it shows significant difference between the two. According to the item's analysis results acquired by this standard, altogether 12 improper items were deleted and 21 items were kept to form the formal questionnaire.

In order to measure the formal questionnaire's reliability, Cronbach's alpha coefficient was employed as the instruments, the bigger alpha coefficient you get, the higher the inspected factor's internal consistency means, and the higher the reliability is, as shown in Table 2:

Tab.2 Statistics of questionnaire reliability

Cronbach's Alpha	Items
0.829	21

The alpha coefficient in this questionnaire is 0.829, indicating that the reliability of the questionnaire is rather good for the reliability value is bigger than 0.80, a value indicating the satisfactory questionnaire's reliability in experiment as a rule.

### 3.3 Collection of questionnaire data

A formal investigation was conducted in a large scale in four colleges in different areas in China, with subjects being sophomores, juniors and seniors at school. Altogether 400 questionnaire test papers were distributed, with each college 100, and 387 test papers were collected. With careful analysis and management, 334 were taken as the valid questionnaire test papers. Then exploratory factor analysis was conducted on the questionnaire data, using the statistics analysis tool SPSS.

## 4. Statistical results

Before the exploratory factor analysis, KMO measure and Bartlett sphere test was conducted on data to analyze whether the statistical data was appropriate to make factor analysis or not. Via the analysis, KMO measure value is 0.882, which indicates the size of sample is suitable for factor analysis; Bartlett sphere test statistics is 2535.663,  $p=0.000<0.05$ , which indicates the data correlation coefficient matrix is not unit matrix, and also affirms its applicability of factor analysis.

In exploratory factor analysis, according to the standards that eigenvalue of factors is bigger than 1 which conforms to macadam test standards and that the factors selected out before revolving can at least explain 3% of the variation factors, we obtained four FLLP factors for college English after several times of the exploratory factor analysis. The detailed data is shown in the following Table 3:

Table 3 shows that the eigenvalues of the four factors are within the range of acceptable values, bigger than 1.0, and the four factors' cumulative explaining variance was beyond 67%, which means that it can explains the variance of the entire scale more persuasively. In each factor the item's load capacity is between 0.522 and 0.816, higher than the acceptable value 0.30. Therefore, it

is safely concluded that the designed FLLP scale in this study is structurally valid. Meanwhile, from Table 4 it is shown that each factor's Cronbach's Alpha coefficient is above 0.7 and total questionnaire's reliability coefficient is 0.855, therefore, this questionnaire has a good reliability.

Tab.3 Factors construction of college students' FLLP

Factors	Questionnaire items	Load capacity of each item			
		F1	F2	F3	F4
Mastery of language knowledge (F1)	an8. I master the common English grammar knowledge.	0.810			
	an11. I can know most of vocabulary required in the textbook.	0.803			
	an13. While dealing with English reading, the listening material and English writing, I have a basic knowledge of discourse structure	0.788			
	an14. I am familiar with and able to identify word formation	0.767			
	an17. I understand basic knowledge of customs and history in English speaking countries.	0.773			
Changing of learning motivation (F2)	an5. I want to learn English well for a better future occupation.		0.711		
	an12. I'm interested in rich content and new selection of material in the English language.		0.687		
	an18. I learn English in order to broaden my horizon.		0.803		
	an21. I have to spend a lot of time on English for English test.		0.679		
Competence of applying language knowledge (F3)	an2. I try to coordinate the reading speed and comprehension ration while reading English materials.			0.587	
	an7. I try to think and answer the questions in classes in English.			0.675	
	an6. In oral English activities, I can express myself correctly and can understand other.			0.661	
	an10. While doing English writing and translation, I try to consciously avoid the writing in the Chinglish.			0.638	
	an16. I reflect on my English learning achievements periodically.			0.632	
	an19. I can understand most of listening material our teacher gives.			0.573	
	an20. When I speak or write in English, I pay attention to communication situations and communication purpose.			0.522	
Ability to adapt to learning environment (F4)	an1. I like multimedia English class which combine sound, picture and video to make class more vividly.				0.816
	an3. I can create opportunities & environment by myself to learn English.				0.795
	an4. When confronted with difficulties in English learning, I will search the Internet for help.				0.717
	an9. I often browse the foreign websites like the BBC, The Times and so on.				0.549
	an15. I often chat with foreigners in English on Internet.				0.559
Eigenvalue		4.332	3.211	1.991	1.678
Variance		25.978	19.32	11.94	10.06
Cumulative variance		25.978	45.29	57.23	67.3

Tab.4 Questionnaire reliability coefficient

Cronbach's Alpha	Total questionnaire	F1	F2	F3	F4
$\alpha$	0.855	0.827	0.798	0.801	0.788

According to the messages conveyed in the items, four factors were classified. They are:

**Mastery of language knowledge (F1)** The analysis of the main ideas reflected from the 5 items reveals that this is the factor that mainly concern how well the learners master English language knowledge. The language knowledge, according to the questionnaire, could be classified into two parts: linguistic knowledge of the foreign language and background knowledge of foreign language

culture. The former is embodied as the commonsense rather than academic knowledge in phonology, lexis, morphology, syntax and text/discourse and so on; and the later mainly concerns the knowledge of the culture and customs in the English speaking counties and even the western countries.

***Changing of learning motivations (F2)*** Exploration of the items in this group reveals what motivation the learners' hold toward English learning and what change would the motivation make over time. Specifically, this factor indicates the dynamic features of motivation during the process of college English learning. The reasons why the college students learn English are constantly changing over time. Maybe at the very beginning, the students learning English as obligatory subject from which they earn their credits to meet the requirement for graduation, and gradually, they come to realize the significance of English as a tool in their inquiring the exotic culture as well as their academic study, and perhaps later the students learn English due to their love of English culture or customs, that is, out of integrative motivation.

***Competence of applying language (F3)*** All the items in the factor indicate that this is the index to show the learners' ability to transform English knowledge to real communication. The essential nature of language learning is in its use, namely, the application of language to the real communication, not only in daily life but also in the academic study. Whether or not the students can use foreign language they learn to communicate in various circumstances should be regarded as the essential index to judge the FLLP in students. Generally, this factor could be translated into the so called five skills such as listening, speaking, reading, writing, and translating or interpreting, as shown in the above table. But more specifically, this should also include the ability to take different communicative strategies in the cross-cultural situation,

***Ability to adapt to learning environment (F4)*** This factor refers to the learners' ability to get access to learning resource, renew learning methods, and learn autonomously by taking full advantage of the web-based multimedia learning environment. Especially in modern learning era, the technology and device can provide and even create more opportunities for the students to learn English at any time if they would like to learn. It is hard to imagine that a student can hardly get access to the debate between the two candidates in American presidential election. Therefore, to a large extent, this factor determines whether or not language learners could conduct their autonomous learning after class or when they graduate from the school.

The collected questionnaire data was explored by using exploratory factor analysis and a four-factor FLLP model was eventually constructed, that is, mastery of language knowledge (F1), changing of learning motivations (F2), competence of applying language (F3), ability to adapt to learning environment (F4). This conclusion is basically consistent with the definition of FLLP in the hypothesis of this study, and would empirically change people's traditional opinion that FLLP is equal to examination-oriented performance.

## **6. Conclusion**

In this study, a four-factor foreign language learning performance (FLLP) model for college English learning in China has been constructed via exploratory factor analysis based on a large scale survey, in which the four factors are: mastery of language knowledge, changing of learning motivations, competence of applying language, ability to adapt to learning environment. This model has changed the traditional concept in Chinese literature that equals the foreign language learning performance to a static language test scores of different levels, introduces many more elements such as learning motivation, learning ability and learning environment to the connotation of the FLLP, and attempts to embody the multidimensional characteristics of the FLLP. And this model would hopefully serve as the guideline for the teacher to perform scientifically in terms of planning, executing, monitoring and evaluating their teaching practice, and as the aim for the students to achieve in their study.

Obviously, in this research there still exist many points demanding improving, for instance, the size of samples is rather small, which means that the data collected from the questionnaire could not

so comprehensively justify. However, this study is tentative but creative, with the hope of calling for more profound and valuable study on the subject of foreign language learning performance (FLLP).

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## Improving Nursing Students Perceived Self-efficacy in CPR, through Peer-led Educational Method

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**Keywords:** Cardio-pulmonary resuscitation; Peer; Clinical skills; Nursing students training.

**Abstract.** According to important of applying appropriate educational methods for promotion student's knowledge, skill and perceived self efficacy in encountering cardio arrest. The aim of this study was comparing the effects of peer and teacher education on nursing student's perceived self-efficacy of CPR. So 50 nursing student selected randomly and equally divided in two matched groups (peer and teacher) and then trained in CPR according 2015 protocol. Their perceived self-efficacy in CPR immediately and one month after intervention was measured. Data were analyzed using Chi-square, t-test and repeated measurement ( $p=0.05$ ). According to the finding the mean score of perceived self-efficacy in CPR in peer-educated group was significantly higher than in teacher group, immediately and one month after the intervention ( $p<0.001$ ).

### 1. Introduction

According to the report by American Cardiology Association, cardiac arrest ranks as the fifth cause of mortality after cardiovascular diseases, cancer, chronic diseases of lower respiratory tract, and unintentional injuries and is approximately the cause of one-twentieth of deaths. Averagely, one American is affected by cardiac arrest every 40 s while one individual dies of it every 4 min <sup>[1]</sup>. Despite amazing advancements in the application of modern technology and programs of effective prompt interventions at the time of cardiac arrest, the survival and discharge rate of such patients is unfortunately low in various health-care centers <sup>[2-4]</sup>. Some studies have reported a difference rate of %42 in survival rate of patients with equal conditions and specifications undergoing cardiopulmonary resuscitation in various hospitals <sup>[5]</sup>. Unfortunately, there are no accurate statistics

on the survival rate of patients after CPR; however, various results in the hospital setting from 19.1% to 11.8% are available <sup>[6, 7]</sup>. One probable justification for the diversity in the consequences of CPR is the potency of the CPR team in providing prompt appropriate response to cardiac arrest as the first link to survival loop after CPR <sup>[8, 9]</sup>. Nurses are the key members of the CPR team. They monitor the patients meticulously and vigilantly for the detection of any primary warning signs of cardiac arrest during the whole period of hospitalization and are the prime attendants at the cardiac arrest scene who manage the life rescue operation and coordinate the CPR process <sup>[10, 11]</sup>. Nonetheless, the reality is that nurses possess insufficient knowledge and skills of CPR <sup>[12, 13]</sup>. On the other hand, the perceived self-efficacy for CPR operations plays a key role in the conversion of knowledge to practical behavior, so that it determines the method by which the personnel face the scene of cardiac arrest to organize and handle the appropriate measures during the CPR process <sup>[14, 15]</sup>. Some evidence has demonstrated that persons who are equipped with sufficient knowledge on CPR, yet have low self-efficacy, may still fail in performing CPR successfully <sup>[16]</sup>. Since self-efficacy in CPR is correctable through training <sup>[17]</sup>, a revision of methods used in teaching CPR and the application of appropriate effective teaching methods are rendered as mandatory key components in this field <sup>[14, 18]</sup>. Recently, the use of peers in teaching clinical skills to BS students has been rendered as an acceptable convention in teaching health-care sciences. This reduces the costs and is considered as an effective method of modifying learning in psychomotor and cognitive domains leading to increased self-confidence of trainees in clinical settings <sup>[19, 20]</sup>. Nevertheless, some controversies on the effectiveness of the application of this teaching method have been reported in the literature available <sup>[21, 22]</sup>. Moreover, some review studies have recommended that more research be done to investigate the pedagogic consequences of this method <sup>[23]</sup>. Hence, regarding the vital importance of the teaching of prompt suitable response to a cardiac arrest scene in BS nursing curriculum, the present study embarked on comparing the effects of training by educators and training by trained peers on the rate of perceived self-efficacy of nursing students in CPR. The results could be applied in better presentation of the CPR course.

## 2. Methodology

In this experimental study, 50 participants were selected from among 150 senior BS students of nursing who were studying at Islamic Azad University, Yazd Branch, on the basis of inclusion criteria. They had enrolled for “Nursing of Medical Emergencies” course. These students were matched for age, gender, and overall mean and randomly assigned into two groups of 25. The inclusion criteria were: not having passed the formal CPR training course or program, not participating in a similar research, and no experience of working in hospital. Also, the exclusion criteria were: absence in training and exam sessions. In this study, peer was defined as a classmate with conditions like good educational performance, inclination for participating in the study, and sufficient ability for interacting with and transmitting knowledge to others. The peer student was selected and sent to Yazd EMS (Emergency Medical Services) to pass the formal CPR training program to obtain the required certificate. The teacher team were also trained both theoretically and practically by the same trainer who had taught the peers. The teaching materials and protocol were the same for both groups and consisted of basic and advanced CPR principles of 2015 protocol of ACA. Training was performed on mannequin for both groups in separate sessions. The length of training was five 60-min sessions. The data collection instruments included the Demographic Information Questionnaire and the Standard Perceived CPR Self-Efficacy Questionnaire developed by Roh et al. (2012). This inventory consisted of 4 subcategories of *debriefing*, *recognition*, *reporting* and *rescuing*, and *responding & recording* including 17 items with a five-point Likert scale ranging from “I’m completely sure, I’m sure, I’m neutral, and I’m not sure” to “I’m completely unsure”. Using Cronbach’s  $\alpha$  coefficient, the validity and reliability of this instrument were estimated to be 0.82 for “recognition”, 0.88 for “debriefing and recording”, 0.87 for “responding and rescuing”, and 0.83 for “reporting”. The overall reliability coefficient of the instrument was reported to be 0.91 <sup>[24]</sup>.

The research design was approved by the Committee of Ethics at the university and informed written consent was obtained from the students. Then, the sampling was initiated. In the pre-test, both groups filled the questionnaire relating to nurses' perceived CPR self-efficacy under the same conditions. Subsequently, the training program was completed for both groups. Immediately following and 1 month after the implementation of training, i.e., intervention, the same questionnaire was completed again by both groups under the same conditions. To observe the rights of the students trained by peers, it was determined at the beginning of the research design to repeat the training program for these students by the educators in the case of any demand, though there was no demand for this. The gleaned data were analyzed with SPSS16 using Chi-square test, t-test, and repeated measurement ( $p=0.05$ ).

### 3. Results

In this research, no students were excluded from the study (subject attrition=0). The mean and SD of age was  $21.63\pm0.91$ . More than half of the participants in each group were female. The samples in both groups were matched for important intervening variables such as age (t-test for independent groups,  $p=0.84$ ), gender (Chi-square,  $p=0.87$ ), and overall mean score (t-test for independent groups,  $p=0.12$ ). A comparison of mean scores of nursing students' perceived CPR self-efficacy before, immediately after, and 1 month after intervention indicated that the students' mean score on this variable was greater before intervention for the educator-trained group compared to the peer-trained group though the difference was not statistically significant. However, the mean score was significantly greater in the peer-trained group immediately and 1 month after intervention compared to the teacher-trained group (t-test for independent groups,  $p=0.05$  and  $p=0.001$ ).

A survey of the differences in subscales mean scores in pretest indicated no significant difference in the mean of the perceived score between the two groups. Also, a comparison of the mean scores of subscales immediately after intervention in both groups demonstrated that the mean score was significantly greater only for "responding and rescuing" in the peer-trained group immediately after intervention compared to the teacher-trained group ( $p=0.02$ ). Moreover, a comparison of the mean scores of subscales in both groups 1 month after intervention revealed that except for "reporting", there were significant differences among the subscales so that the mean score of perceived self-efficacy in the peer-trained group was greater than that of the teacher-trained group for "recognition" ( $p=0.03$ ), "reporting" ( $p=0.005$ ), and "responding and rescuing" ( $p=0.001$ ).

The results of paired t-test for comparing mean scores of subscales of self-efficacy in teacher-trained group before intervention with immediately after and 1 month after intervention suggested significant differences in all subscales before intervention, immediately and 1 month after intervention so that the mean score of perceived self-efficacy in all subscales was greater immediately after and 1 month after intervention compared to before intervention (recognition, responding and rescuing, and reporting,  $p=0.001$ , and reporting,  $p=0.002$ ) while the difference between mean scores of subscales immediately after and 1 month after intervention was significant only for "responding and rescuing". The mean score was smaller 1 month after intervention compared to immediately after intervention ( $p=0.001$ ). Additionally, a comparison of the mean scores of subscales of perceived self-efficacy in the peer-trained group before intervention with immediately after and 1 month after intervention indicated a significant difference for all subscales before intervention compared to immediately and 1 month after intervention so that for all subscales, the mean score of perceived self-efficacy was greater immediately and 1 month after intervention compared to before intervention (paired t-test,  $p=0.001$ ). Nonetheless, the difference in mean scores between immediately after intervention and 1 month after intervention was significant only for the subscale "responding and rescuing" so that the mean score 1 month after intervention was smaller than that immediately after intervention ( $p=0.026$ ).

The results of repeated measurements indicated that the scores of perceived self-efficacy were significantly different during the time interval in the two groups so that the self-efficacy score was greater in peer-trained group compared to the teacher-trained group.

#### 4. Discussion and conclusion

The findings of this study confirmed the positive effect of peer teaching to promote nursing students' perceived CPR self-efficacy in clinical settings. Some previous studies have reported the usefulness of the use of various training methods and peer-oriented learning in clinical training [25-28]. Also, the results of a study on the application, advantages, and preferences of the use of "peer-assisted teaching" in teaching clinical skills in the field of health sciences have reported students' feeling of more comfort when taught by their peer teacher, reduced anxiety, and receiving useful and non-threatening feedback. Moreover, the students participating in the learning process by their peer had experienced an improvement in psychomotor skills, critical thinking, care performance, patient education, gaining independence in clinical performance, and a high level of knowledge [29]. Even though several studies have approved the appropriacy of educational consequences of the use of peer-assisted teaching [30,31] and peer teaching, some literature reports controversial results in this respect. A meta-analysis by Yu et al., reported equal rate of achieving learning goals by medical students taught by peers and by those taught by faculty members. The researchers in the study above have introduced the potential merits of learning by peer teaching, yet, they have characterized the long-term effects of this method in medical education as unknown or uncertain [32]. In another study, the researchers stated that under conditions that the learners' personality features and learning styles are not compatible with this method and the students have spent less time with the clinical trainer, a weak learning occurs; so, it is necessary to accommodate the students before implementing this method [33]. There are a few studies in the current literature investigating the efficacy of the use of this method in teaching CPR clinical skills. The study by Roh et al. compared the nursing students' CPR skills in the educator-trained group and peer-trained group and concluded that the educator-trained group acquired better skills of CPR performance compared to the other group [34]. In another study, the junior medical students who were exposed to peer teaching sessions, enjoyed the beneficial effect of peer companionship on their cognitive and emotional power and educational progress; besides, the peer-oriented students showed a stronger self-efficacy for continuing their education [35].

As conclusion a successful teaching definitely depends on the creation of a nonthreatening climate of learning and placing the learners on a floor of sympathy and providing constructive feedback. These considerations may be fulfilled in a better way by a peer than a teacher. However, more comprehensive and accurate research is needed before the application of this method in BS educational syllabus for assessing the suitability of this method for various subject matters, size of teaching groups, newness or repetitiveness of the subject matters and collation of the learners' and peers' personal and educational preferences. Furthermore, the researchers of this study recommend more exploratory qualitative research to acquire live experiences of the students who participate in the medical education system as learners or as teachers in the peer-oriented teaching.

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## Exploration of Organizational Learning Process in Clinical Nursing: A Grounded Theory

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**Keywords:** Organizational learning; Clinical nursing; Grounded theory.

**Abstract.** Background: Essential changes in technology indicated the need to learning in organizations. Nowadays, organizational learning considered as an important factor for preserve and survival of organizations. Nurses as the largest group involved in health care delivery, have the most caring and therapeutic relationship with patients, so play an effective role in organizational learning. The present study aimed to exploring organizational learning process in clinical nursing.

Method: The present study is a qualitative research using grounded theory approach. Data analyzed using Cobin & Struss 2008 method. Participants were included 18 nurses occupying in hospitals affiliated to Kerman University of Medical Science which selected through purposive sampling with maximum variance and theoretical sampling. Data gathered by in depth, semi structured interviews. Written informed consent was taken. Data collection also included constant and simultaneous comparative analyses.

Findings: Data analysis marked the "attempt for acceptance and satisfaction" as the core variable of study. This attempt was conducted to response the "sense of uncertainty and lack of belonging. Perception of position of leaning in one's professional world was the background that their interactions formed based on it. In this process, "inactivity and lack of dynamism" and "attempt for learning and empowerment" along with the "attempt for acceptance and satisfaction resulted to " spiritual health. In the organizational learning process, Learning facilities and internal motivations act as facilitators and sense of uncertainty and lack of belonging, independence to learning and to take away the learning motivation were the barriers.

Conclusion: According to results, although nurses suffered from sense of uncertainty and lack of belonging, they considered learning and empowerment in order to achieving acceptance and satisfaction. Managers and policymakers can create nurses job satisfaction, promotion of quality of

nursing care, patient satisfaction and finally organizational improvement by intensification of facilitating factors and elimination of barriers.

## 1. Introduction

Organizational learning is the best way of improving the performance in the long run. In near future, only the organization which is able to appropriately use the capabilities, commitment, and individuals' learning capacity at all levels of the organization can claim superiority. In organizational learning, the organization members prepare themselves to cope with the probable changes and events by recognizing and correcting mistakes and the causes predisposing to them<sup>[1]</sup>. Organizational learning is the product of exploration and research in the organization. Whenever the expected consequences of a work process contradict the actually obtained results, an individual or group gets involved in exploration and research to figure out the causes of this contradiction and possibly take some measures to resolve the problem. The individual interacts with other members of the organization in the course of this organizational exploration process leading to learning<sup>[2]</sup>. The organizational learning process involves acquisition of knowledge (creation or development of skills, insights, and interpretations), sharing the knowledge (generalizing the learned knowledge by individual to others), and the use of knowledge (integrating the knowledge) so that it is absorbed, made widely available, and generalizable to new conditions<sup>[3]</sup>. This type of learning exerts a great influence on the personnel. In other words, an increase in organizational learning results in an increase in empowerment<sup>[4]</sup>. As a stimulus, the capacity for organizational learning makes individuals develop their competencies to achieve job satisfaction<sup>[5]</sup>. Despite the availability of numerous studies conducted in this field, various aspects of this type of learning ought to be still investigated due to the inherent complex structure of organizational learning<sup>[6]</sup>. A review of the studies carried out in Iran indicates that all of them are quantitative in nature ignoring the phenomenon of organizational learning itself and its processes<sup>[6,7]</sup>. Regarding the nature of organizational learning and its context-dependent feature, it is suitable to identify the aspects of this concept through collecting rich data by deep interviews and unique process analysis in a grounded theory.

## 2. Methodology

This study falls under the qualitative naturalistic paradigm studies conducted using Corbin-Strauss version (2008) of the grounded theory approach. Grounded theory research investigates more extensively the aspects that can not be explored by quantitative studies<sup>[8]</sup>. The setting of the present study was the hospitals affiliated to Kerman University of Medical Sciences and the target population was the nurses employed in these hospitals. To select the participants of the study, purposive sampling method and theoretical sampling were used, respectively. The inclusion criteria were: holding a BS degree in nursing, one-year experience of clinical work, employment in clinical wards or managerial sections, and enjoying physical and mental health. To acquire accurate rich data with a deep perception of various aspects of the phenomenon under study, sampling was done with maximum variety of both male and female genders, various educational and occupational levels at different ages and various work experiences. On the whole, 18 interviews were performed with 18 participants. In this study, the first participant was the key informant and the other samples were selected on the basis of theoretical sampling. Theoretical sampling was started after analyzing the first interview and continued till data saturation was achieved. The main method of data collection in this study was semi-structured individualized face-to-face interview. Moreover, observation, field note-taking, documents review, and memo writing were used simultaneously. The data were analyzed with Corbin-Strauss method (2008). Each interview was transcribed and analyzed immediately after completion. Data analysis was done in four distinct phases of data analysis for concepts, contextual analysis, importing the process, and integrating categories. To analyze the data, continuous comparison strategies and asking about data were used for concepts.

For contextual analysis, paradigm instruments and consequential conditional matrix were used. To search for process, the researcher reread the notes on previous analyses while considering all the time the strategic, practical, and interactive/emotional models. Eventually, in the category integration phase, the data were introduced as an inter-related set of concepts, and decision was made about the central category. To identify the central category and integrate the categories, several techniques such as writing story line, plotting diagrams, and reviewing and grouping of memos were applied. MAXQDA10 was used to facilitate data analysis, groupings, repeated comparisons, and to retrieve quotations. To determine the validity of research data, the recommended criterion of Lincoln & Guba<sup>[9]</sup> was used. Manifestations of data validity in this study included: long-term participation, researcher's long-term contact with the participants, good communication with the participants, highest variety in sampling, integration of data collection methods [observation, field note-taking], participant review and peer review, revision of codign and categories by the research team, field note-taking, and memo writing.

**Research ethics:** The study was approved by the Research Council of the School of Nursing and the Ethics Committee of Kerman University of Medical Sciences under the ethical compliance code of K/93/154 and the approval code of 93/305.

### 3. Results

The participants of the study were 13 females and 5 males with a mean age of 34.8 years and a mean work experience of 12.3 years. Eleven participants held BS, 5 held MSc, and 2 were Nursing PhD candidates. The results of data analysis are presented as four main themes: perception of the position of learning in one's professional world [context], attempt for learning and empowerment, inactivity and lack of dynamism [interactions], and movement in path of spiritual health [consequence]. The central variable in this study was "attempt for acceptance and satisfaction" manifested as a response to the main concern of "sense of uncertainty and lack of belonging".

#### 3.1 Perception of the position of learning in one's professional world

Among the contextual factors, "feelings of independence and insecurity" was identified as the major concern. This context included factors like "influential peers, the climate governing the ward, availability of information sources, intrinsic motivation facilitating the learning of new knowledge, and personal and organizational promotion". Besides these factors, there were conditions that enhanced the feelings of independence and insecurity in nurses and, along with issues such as induction of feelings of lack of any need for learning and removal of learning motivation, served as barriers to organizational learning. Participant #11 believes that: *"Nurses have no motivation for learning. Now, I can see that even the Msc or PhD nurse has no position. The repetitious duties cause them to melt in the system. Even it does not cause any great change in their financial position"*.

#### 3.2 Attempt for acceptance and satisfaction (core variable)

##### 3.2.1 Inactivity and lack of dynamism:

Nurses' interactions and their strategies in coping contextual conditions referred to a continuum on one end of which are interactions demonstrating nurses' surrendering to the present condition and forming the major category of "inactivity and lack of dynamism". Some manifestations of this non-dynamism included inactive attendance at formal trainings, feelings of subordination, and lack of confidence in evaluations and assessments. An example of non-confidence in evaluations is displayed in statements made by participant #3: *"It is not at all important for the system to know whether the nurse who is working with the patient has learned anything and executes them or not. The assessments are just formal not real. It has not ever happened to a nurse who participates in a training workshop not to receive the related certificate"*.

##### 3.2.2 Attempts for learning and empowerment

At the other end of the continuum lay nurses who overcame the conflicts by the motivation for acquiring acceptance and satisfaction. They used all their power to fulfill individual and organizational learning. These interactions consisted of nurses' attempts for voluntary learning, obligation for responsiveness, provision of better care, and maintaining patient's security. Attempting to maintain patient's safety is demonstrated in the statements by participant #7 in this way: *"We observed for some time that Shaldon and fistulae infections are growing in hemodialysis ward; we made some perforated shunts with the used gowns and sterilized them. When we compared the infections before these measures and 6 months later, we saw that these infections were reduced to zero, i.e., they were very effective"*.

### 3.3 Movement in the direction of spiritual health

The consequence of these struggles was movement in the spiritual health path. The nurses moved in this process from dissatisfaction with their position and professional identity and feelings of independence and insecurity to enjoying feelings of internal acceptance, acquisition of acceptance, and feeling of being valuable. Moreover, their attempt to maintain patient's safety and improve health-care quality in the form of "obtaining patients' satisfaction" succeeded and was substantiated. The laboriousness of nursing work and dissatisfaction with the financial aspect of this job drove some nurses to escape the clinical setting and turn to other work environments and, briefly, failed compatibility. Possession of feelings of acceptance is obvious in statements made by participant #11. *"Even presently, if they ask me which job I would select if I were to start from the beginning, I would answer: despite all the difficulties of the nursing job, I would really decide to become a nurse, because I will feel mentally satisfied by nursing. I feel I am useful to others. The reality is that I always want to be a nurse"*.

## 4. Discussion

Among the set of contextual factors and conditions of clinical nursing inducing the inclination for organizational learning or which hindered this type of learning, the concept of "sense of uncertainty and lack of belonging" was identified as the major concern. This feeling dissatisfied nurses from their professional position and consequently, they looked at "attempt to acquire acceptance and satisfaction" as a way to overcome these conditions. This concept, considered as the "core variable" in this study, elucidates the nurses' strategies for managing and handling the challenges induced by feelings of uncertainty and lack of belonging and also dissatisfaction with their professional position. In the present study, the nurses referred to facilitating factors like "influential peers, the climate governing the ward, and availability of information sources". Numerous studies have emphasized the facilitative role of "chatting and consulting with other workmates and experts for increasing knowledge" [10, 11-12], "reliance on and confidence in colleagues for acquiring knowledge" [13, 14], and "availability of intra- and extra-organizational information" [15]. Such an informal learning has been mentioned as part of organizational learning and as a factor for improving individuals' attitude towards occupation, creating the need for learning, and increasing job satisfaction in the personnel [16]. This study identified feelings of uncertainty and lack of belonging and dissatisfaction with one's professional position as the major concerns of the nurses in the organizational learning process which were related to concepts such as undeliberate entrance into this field, non-confidence in the acquired capabilities, and deficiency in work independence. Those who are deprived from dependence, experience lower self-respect and feel more stress and anxiety [17, 17] or they may be affected by depression [19] and decreased happiness and welfare [20], while feelings of dependence increases the motivation for learning [21]. In another study, the Iranian nurses held negative attitudes towards the required competencies for entering the work field [22] wherein this hesitancy and uncertainty in one's knowledge served as a barrier in transmitting knowledge and application of the learned issues [23]. Furthermore, the Iranian nurses' lower occupational autonomy compared to that of western nurses [24] and generally speaking, absence of work autonomy is a concept frequently referred to in similar studies [24-26]. Inactivity and lack of

dynamism were manifested as passive presence in formal trainings, feelings of inferiority, and non-confidence in evaluations and assessments. These factors are further emphasized in the studies by Dehqan Nayeri et al. [23] and Vaezi (2012). Feelings of inferiority and absence of appropriate social position play an important role in imposing an atmosphere of indifference and weakening of learning motivation in the organization and also nurses' professional promotion. Numerous studies have also referred to similar concepts such as low social face on the part of the society [26, 27] and lack of acceptance on the part of the family [28]. Attempt for learning and empowerment was characterized by the subcategories "voluntary learning", "obligation for responsiveness", "maintaining the patient's safety", and "attempt for better care". Voluntary learning has been mentioned as a facilitative factor and nurses' stimulant for organizational learning [10, 11, 29] and as a symbol of nurses' professionalism. Nurses' responsiveness is in fact a warranty of provision of high quality care and of nurses' professional role [28]. Moreover, one aspect of responsibility is ethical responsiveness which has been referred to in similar studies [30]. The strategies used by nurses to protect patient safety are consistent with the results of the study by Henneman et al. (2006, 2010) [31, 32]. Nurses provided a climate which is inherently a way of fulfilling organizational learning by forming work teams inside the ward [33]. The outcomes of these attempts were the prevention of patient damage and protection of their safety. Attempts for provision of better care manifested themselves as provision of practical, economic, and low-cost suggestions, being consistent with the findings of similar studies [34, 35]. Movement in the path of spiritual health was a consequence of nurses' struggle for learning and empowerment. In the present study, achieving spiritual health contained fulfillment of non-material values.) and Fisher (2010) [37, 38] correspond to the concepts mentioned in the present study such as feeling of acceptance, and acquisition of patient's satisfaction. Feeling of worthiness due to acquisition of knowledge and experience was another concept referred to in other studies [39, 40]. Acquisition of patient satisfaction corresponds to aspects of spiritual health including feeling of contact with the surrounding world and the need for communication with others. This is one of the consequences of organizational learning and a symbol of fulfillment of nurses' non-material values. At the same time, patient satisfaction is positively and significantly correlated with nurses' occupational satisfaction [41, 42]. Failed compatibility was another consequence induced by factors like dissatisfaction with payments and salary discrimination resulting in application of daily routines [43]. Other studies [23, 27, 28] have also referred to their inhibiting effects on organizational learning. Similar studies have mentioned affection and interest in one's job and its significance for the person as an influential factor in continuation of nurses' work [44] while difficult harmful conditions of clinical nursing work, various diseases and hazards, and lack of sufficient support and low income [45] are among the factors that predispose to work leave.

## 5. Conclusion

The researchers found through identifying the contextual factors that nurses' attempts to establish organizational learning were indeed a struggle for proving oneself and acquiring feeling of acceptance and satisfaction. Consequently, any planning to promote nurses' autonomy, spreading the culture of contributory decision-making, correction of the trend of continual education programs, and defining a professional position suitable for one's scientific rank play an undeniable role in paving the road to organizational learning in clinical learning and achieving the mentioned outcomes.

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# The Teaching of History and the Problem of Historical Consciousness: The Case of the Czech Republic

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**Keywords:** Teaching history; History teachers; Teaching methods; Historical consciousness; Collective memory; Quantitative research; Qualitative research.

**Abstract.** This contribution deals with problems connected with the teaching of history. It is based on broad empirical research developed in recent years in the Czech Republic using both quantitative and qualitative methodologies. The content is oriented on the basic questions of: A) What is the importance attributed to knowledge and teaching of history? B) From what sources do people derive knowledge of history and what role does the teaching of history play in it? C) What are the main problems of history teaching from the viewpoint of its practitioners? This article tries to identify strengths and weaknesses in contemporary history education on basis of the example of the Czech Republic.

## 1. Introduction

In this paper, we discuss selected issues in relation to history teaching in primary and secondary schools in the Czech Republic. The basic research questions relate to what is the position of teaching history in Czech society and what the problems are of teaching it. To answer these questions, we monitor several problem areas. We derive findings from a series of research activities – quantitative and qualitative – conducted in the years 2009-2011. The aim of this paper is to reveal the strengths, weaknesses, opportunities and risks that may be identified in terms of history teaching in the Czech Republic.

## 2. The importance of knowledge of history and teaching history

On a general level, it can be said that the Czech public does not attach to the knowledge of history any great or vital role. Approximately half of the adult population (53%) considers the knowledge of history as important. Only one tenth attaches to the knowledge of history "definitely a great" importance. A rather small (35%) or even a definitely small (7%) importance is declared by a total of 42% of respondents. Together these opinion groups are numerically relatively even with, or slightly outweigh, those who believe that knowledge of history is important ( $n = 1459$ ; 2010<sup>[1]</sup>).

But it is equally important to point out that attitudes regarding the importance of the knowledge of history are far from being equally distributed through Czech society; for example, people with a university degree attach "definitely a lot" of importance to the knowledge of history more frequently (26%) than those with lower education. In general, the attributed importance undoubtedly relates to different historical experience.

Qualitative interviews in smaller groups (*focus groups*), which took place in 2011, provided a better insight into possible interpretations of the importance that people attach to the knowledge of history. Participants in focus groups often reacted spontaneously and strongly disapprovingly on the provocatively formulated thesis that knowledge of history is unimportant (for instance "*it's silly*")

and inclined to the view that the knowledge of history is important for understanding the present; it enables us to see things in context and provides support and guidance to understanding current problems: *"When I know my roots and I know what was before, I can understand what is now."*

What is the importance attributed by the public to the teaching of history at primary schools? It is understood as "definitely important" by 43% of the Czech adult population; another 37% of the Czech public considers it "somewhat important" (the vast majority of the Czech public, in total 80%). On the contrary only a marginal segment of the population considers teaching of history at primary schools unimportant (for about 10% of respondents teaching history at schools seemed to be "somewhat unimportant" or "definitely unimportant" (n = 1459; 2010 <sup>[2]</sup>).

Teachers often see the function of history as a source of learning to avoid making mistakes which our ancestors made in the past. History in the opinion of teachers should also help our orientation in the contemporary world and its problems. Overall, in this sense history is understood in a somewhat broader sense as teaching full, informed and mature citizenship. In general, we can conclude that history has retained a relatively high respect. Teaching history represents an absolutely key mechanism for the creation and reproduction of historical consciousness; it "is the only systematic familiarization of all members of society with historical reality" <sup>[3]</sup>.

### 3. Where people derive knowledge of history

The fact that the most people are aware of history, and that this awareness is largely shared, is made possible by the existence of several institutions that are responsible for the spreading of information within society. What are the specific resources which the inhabitants of the Czech Republic use or have used during their lives for acquisition of information?

*The most frequently used sources of information about history are television shows, feature films and historical documentaries.* The fact that the most important sources of information belong to the area of electronic media, especially television broadcasting (which actually integrates to a large extent also the broadcasting of historical documentaries as well as historical fiction films) is not surprising, because watching TV occupies a significant proportion of the free time essentially of all social groups <sup>[4]</sup>.

A little surprising is the great importance attributed to school as a source of knowledge, although for different generations the teaching of history might have somewhat different emphases and (ideological) framing. Through the compulsory school history education though, at least at elementary school, everyone experienced some historical information.

A special position is occupied by the Internet. Generally, the largest proportion of respondents (18%) indicated that it does not use the Internet for historical education at all; this result, however, is strongly generational. Books and journals, meanwhile, do not have as much importance as television, movies, school and the internet, but their role is also significant <sup>[5]</sup>.

### 4. Teaching history from the viewpoint of its actors

Problems related to the issues of the school history teaching in our research were studied primarily through qualitative methodologies (*focus groups*; 2009, 2011). For many people (both younger and older) the recollection of history teaching is associated with the off-putting idea of learning a large number of dates of historical events, which they usually do not remember at present, and writing knowledge-based tests: *"It was just learning data. What I quickly acquired, I just promptly forgot..."* Those who on the contrary remember their lessons in history usually emphasize the engaging and interesting lectures of the teacher, mostly associated with the art of storytelling. In this context it is also often pointed out that the present time is characterized by an excess of information compared to the past, so it is very difficult to attract pupils' attention <sup>[6]</sup>.

The prevailing view is that in the process of teaching history it is necessary to abandon uninteresting methods of memorizing historical facts and to interpret the subject matter in context and look for more illustrative and engaging forms of learning (*"Learning the precise date when*

*something happened- according to my view, it seems to be better to learn what impact the event had about 50 years later, to what it all led"). To achieve this, it is necessary to introduce newer and more attractive teaching methods associated with visits to historic places, playful elements and options that provide modern media and interactive approaches, ("It occurs to me to invite into lessons contemporary witnesses who directly experienced the time, or even workers of various museums and so on, which would improve the lesson. Not to make it just about that the teacher lectures"). Teaching history according to the participants of discussions could also help to teach the subject matter more as storytelling and not only about great events, but also problems of everyday life ("I never learnt what I was very interested in, which was how those people at that time lived, how they dressed, and such interesting things I was just missing. "). Recommendations are directed also to the making of new textbooks to raise the interest of young readers. Teaching should somehow deal with the contradictory fact that one has on the one hand to master a large amount of names and dates, however, on the other hand, one must grasp and understand events. It frequently appears as if these two requirements contradict. If for example a teacher overwhelms the pupils with data and details, he does not have time to explain them. In the statements of several participants of discussions, however, appears the optimistic impression that the younger generation is already acquainted with the past through more attractive methods and with the help of materials that were not previously available with us.*

According to the opinion of a number of teachers one of the essential problems is the low motivation of students. Pupils and students are very little motivated, and not only to study history, but also other subjects. They are distracted by a series of new phenomena - new media, computer games - which take them away from concentrated studying ("*... it is increasingly difficult to attract them. There is a total decline of interest in anything. They focus on technology and not on humanities ...*"). Moreover, history - in terms of importance - was mostly perceived as a second-rate, less important, subject. Teachers in this respect do not feel the necessary support either from schools or from parents and the public. To improve the position and the "image" of history in this situation is according to them very difficult.

There appears to be a certain problem in the use of textbooks. Although teachers have in this respect a certain freedom in that they themselves mostly can select which textbooks they want to use in their teaching, they have reservations about many textbooks and consider them less than ideal. Moreover if they decide which type of textbook they want to select it is usually necessary to continue using them for several years because the replacement of textbooks is costly. When it comes to the use of other learning tools (DVD, projectors, interactive CD-ROMs, historical atlases, didactic images), teachers mostly declare an interest and willingness to use them, but at the same time they quite often complain about their lack, which is mainly due to the limited financial resources of schools, and also to the fact that there is a tendency rather to promote teaching of other subjects, especially languages and computer technology.

Teachers consider that many of the discussed topics could be attractive to students, but they lose their popularity because they are linked to too much factual information to memorize and master. It is obvious that one of the key questions is how to design lessons to maintain a certain attractiveness (fun) while getting over the most important facts. In other words, "how to balance facts and stories" in a reasonable way. Attempts to enrich teaching by new, fresh and creative educational methods are not apparently too frequent, because they mostly require from teachers something more: it is necessary to leave the comfortable and well established routine, to devote time to more thorough preparation and deeper study, to have new ideas and a more intensive work effort. ("*I have to prepare for it, but it is worth it.*"). The approved forms of education in this direction are mainly project teaching. Other elements to make teaching more attractive include various quizzes, crossword puzzles, discussions about family history of pupils, videos, etc. The use of these more entertaining forms of teaching is undoubtedly limited by the time of lessons and the priority to cover the content of a syllabus.

Discussions with teachers showed that the vast majority of history teachers differ from the general population with regard to their interest in history as significantly as would be expected. Most however do not show obvious or systematic efforts to continuously extend the knowledge of their discipline. For these teachers - as well as the rest of the population - a major source of information is watching TV. If they need to obtain some specific information, they very often use the Internet, where they mostly visit and use Wikipedia, even though some of them are aware that it is necessary to deal with this source with the certain vigilance. For some history teachers their profession is also their hobby and they approach it accordingly (*"While travelling, I like to search for historical destinations. History has never happened been for me a discipline on a scientific basis. But in private, I watch documentary films, read books but it is not any academic curiosity ..."*). However, there are further exceptions, "enthusiastic" teachers, dedicated to history to a significantly greater extent than their professional duty dictates; they try to keep an eye on what is new in the field in addition to devoting to it a substantial part of their free time.

Views on history are not only shaped by theoretical or practical teacher training, but by personal life experiences, particularly through subjective experience, i.e. intensely lived through and reflected times that represent the basic coordinates of political and historical orientation in the world. A frequently mentioned event of Czech history which occurred during the life of Czech teachers is the year 1989 and the political, social and economic transformation which started then. Depending on age the traumatic year 1968 is often cited. Although other events are touched on there is a fairly strong consensus of the epoch-making importance of events in the years 1968 and 1989.

Very generally we can say that a significant portion of teachers feel respect for and try to exercise their profession in a serious way. The majority care what effect their teaching achieves. At the same time there is evident a certain conservatism concerning certain established patterns of conduct regarded as something normal and satisfactory (*"... at the beginning we review the previous lesson, I explain any ambiguities, I set out the substance and we write a report..."*). Considerations of other, alternative approaches to pedagogical work are rather remote for most. For these teachers, the present system of teaching history should not be radically questioned and changed, but small steps of innovation are acceptable. This conservatism is sometimes connected with fears that they could be exposed to significant demands for change (methodological and content-wise) - which for them, it seems, is not a very pleasant idea. History teachers are usually found in a somewhat contradictory position. On the one hand they mostly attribute seriousness and importance to their subject; on the other hand, they recognise that this importance is not accepted by others- primarily by students, but for instance even by school management or parents. In short: priority in education and training is attributed to other subjects. They are also conscious that history is often unpopular because it puts considerable demands on the memory of students. Controlled discussions indicated that there are some differences within teachers' personal approaches to the teaching of history, from which can be deduced the hypothesis that in Czech schools there are several different educational types (often not in pure, but rather in hybrid forms):

The minority type are "enthusiasts", for which history is usually not only a profession but also a hobby, and therefore they engage in it after working hours. It is characteristic for them to attempt the most attractive teaching of history (though they do not always succeed), and to integrate into it innovative and playful moments. Usually they also try to organize excursions and discussions with contemporary witnesses or to develop extracurricular leisure activities.

A relatively frequent type is the "indifferent practitioner of the teachers' role", someone just not personally seriously interested in history (usually they do not seem to be much more interested than any other citizen), but who approaches their profession to satisfactorily carry out expected tasks. Such teachers tend to prefer the teaching of historical facts, for various reasons but probably because many simply attach the greatest importance to such facts. The idea that the mission of history teachers is to teach pupils first of all just these facts appeals to them, as success can be regarded as a kind of measurable effect of their teaching performance and skills. In many cases,

however, they lack the broader context for narrative, and facts appear to them as something unquestionable. Other types include teachers for whom history is a subject of "second choice" (for example in addition to physical education), and they usually do not particularly conceal that they more fully identify with another subject (*"For me it's all more about the data. Therefore I prefer to realize my potential in the civics."*). Finally there is a type of teacher that can be termed "bohemian", who does not consider the need for steady and systematic educational performance, but may be popular among students thanks to the less formal character of the lessons that result.

## 5. Conclusion

The research reported in this article shows the positive reality - and therefore strength - that the majority of the population of the Czech Republic attaches importance and relevance to the teaching of history. Teaching is understood as an intermediary of historical knowledge, linked with how people look at the world today, as an important co-creator of historical awareness and national identity.

On the other hand, it is a weakness that history is perceived more as a secondary subject. This feeling is shared by the public and pupils themselves, because in terms of their plans and intentions history usually does not play any important role (with the exception of a small group of those students who are humanities-orientated). Acquisition of historical knowledge is associated with the knowledge of a wide range of the factual data (especially dates, years of events), the acquisition of which is perceived as dull and boring. In addition, pupils and students have a large number of diverse impulses from new media, particularly from the Internet, so they often do not consider history to be sufficiently interesting and attractive. However, there are also some problems on the side of teachers. They often rely on routine and formal approaches to teaching, and are not very willing to enrich education by features that increase demands on their professional preparation. A specific issue is the teaching of contemporary history, which a considerable part of Czech teachers has unfortunately the tendency to avoid.

A chance for the greater popularity and acceptance of history may be offered by new approaches and new methods of teaching, project education and the combining of historical knowledge with the knowledge of other subjects. However, it is necessary to use these new elements sensibly and not excessively. At present they are unable to compensate lack of passion, authority or charisma on the part of the teacher. In the hands of a teacher with formal approaches these new devices can become just a formal accessory of education.

The risks in further developments in the field of history lie in the possibility that pupils and the general public fail to be convinced that history is not just the sum of knowledge about the "dead" past, but also something that is related to the present and future; thus the status of history could fall. What remains an open question for the authors of syllabi are relations between national, European and world history. Another problem is the ratio between the factual nature of data on the one side and historical narration on the other. These are conceptual problems whose solution would perhaps not revolutionise the position of history, but would at least make it more fascinating and more attractive.

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## Social Competence of Teachers - The Context of Its Authority

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**Keywords:** Theoretical means of education; Teacher's authority; Social competencies; Innovations of teaching.

**Abstract.** In some aspects of the interaction with students the teacher can feel certain problems especially in the competence of expression, in social sensitivity, in discovering and accepting emotions, in the capability to give and to accept the feedback, etc. This discussion contribution deals with definitions of the terms “social competence” and “teacher authority”, explains the meaning of above mentioned competence in pedagogical interaction and also mentions the possibilities of developing social abilities and skills of teachers - as important part of their professional authority.

### 1. Introduction

In the same way, as it is adjudged to individuals or social groups, authority can be related to scientific fields, philosophical theories and even to social institutions. What is the place of contemporary school within this intersection of relations? Does it reflect the crisis of culture, society and democracy? What does one understand under the term of “authority” and what are its features? What is authority based on? To what extent is it necessary to deal with authority in the period of its indubitable crisis? Is there anything new we can discover in this area? To what extent is it useful to consider authority a pedagogical problem?

Other times an individual feature, that negatively influences the creation of good relations with students, colleagues and chiefs (e.g. intolerance, dominance, unstableness, rigidity, trend to conformity, orientation on fault) can bring many problems. The above mentioned lacks can be eliminated with the help of the high quality pedagogical and psychological preparation of teachers [1].

### 2. The term “social competence” of teachers

The university teacher generally holds the highest status in the “teachers’ hierarchy”. In many branches of science and research it sometimes happens that some theoretical terms are not unambiguously explained and, of course, the need to define the term “social competence” does not represent any exception to that rule. Its explanation in the professional literature often shows some slight differences. First of all the substance of “social competence” is usually being theoretically developed in coherence with the following related terms: social-psychological competence, work-professional social competence, interpersonal competence, methodical competence of teaching action, interactive competence, communicative competence [2].

We do not see our task in some kind of a detailed analysis of the above mentioned term; we would rather point out the difficulties connected with its contents definition. In the contemporary pedagogical and psychological literature we can find terms such as “social competence” or “social ability” or “social efficiency”. It means adequate use of motor, mental and emotional ways of behavior, capabilities, attitudes and skills that enable to deal successfully with some concrete and

important life situations. The term is closely related to exercising one's individual independence (i.e. the skill to organize and independently manage one's own private matters) and to social responsibility (i.e. the responsibility to oneself, to other people and to the whole society). The level of individual independence and responsibility determines the social maturity of a person.

Social competence related to the teacher's personality may also be considered as a capability of the right teacher's conduct, as an art to perceive processes of the group dynamics, ability to reflect it adequately, and to bring it into line and also as a capability of team work and dealing with adults. Social competence as a result of social maturity is being developed during the ontogenesis of individuality. Not only a child, but also an adult can continuously develop the quality of their social capability through continued social learning, training and repeating.

### 3. Etymology of authority of teachers

Problems of authority and manipulation, freedom and responsibility are usually discussed in connection with aspects related to teacher's social competence. After all, do we really need authority and manipulation in education? What kind of relation between freedom and responsibility can be found in the educational process? How much can these relations influence the quality of young peoples' social competence developing and the ways of their social behavior?

In relation to the clarification of the term "authority" we must realise the need of scientific interpretation of the term (not only the term as such, but also the related terminology). Authority as the widest and most complex area can be interpreted from the point of view of the individual fields of science (e.g. school as an institution and its authority can be perceived in terms of sociology, psychology as well as pedagogy.) It is actually always the particular point of view and selected aspects which are being judged – pedagogical interpretation can differ from, say, political interpretation. However, we can state that philosophical and political aspects penetrate into pedagogical point of view.

Looking at the etymology of the word authority we discover that the Latin equivalent "auctoritas" bears a whole set of positive meanings like: supportive, guarantee, certainty, reliability, trustworthy and many other. The relating word "auctor" means among other: helper, supporter, ideal, example, predecessor. The root of both words – augo – expresses the verbs: to support growing, enhance, multiply, thrive, enrich, endow. Where are the terms like oppression, tyranny, violence or force? The preceding positive connotations of the word authority present a sound argument against the ultraliberal destroyers of authority. The reality and historic development of a society often neglect the etymology by moving and changing the meanings of words (the concept of the word "authority" was influenced especially by sociological and political essays on the relationships between power versus authority, authority versus government, authority versus social pressure) <sup>[3]</sup>.

The term "authority" is usually understood on three levels: firstly, as general respect, influence, power, admiration. Secondly, as a publicly recognised expert, influential personality and last but not least, authority representing state, science, national symbols, offices, law and police force. Influence, dominance, control and competence are among the most frequent synonyms to the word "authority".

The term "authority" is connected with expressions such as duty, power, fear, manipulation, service, career, competence, responsibility, rules, order, discipline, obedience, etc. We do not want to analyze here these very complicated relations. We would only try to point out some general preconditions of the "natural authority":

- High professional and qualification level
- Art of leading and managing a working team
- Capability to communicate and cooperate with a group
- Capability to avoid conflicts and possibly to solve them
- Art of non-violent arguing and conduct

- Capability to motivate other people towards output
- Art of tolerance, humor, strictness and perseverance combination
- Capability to cope with own emotional problems and those of other people
- Art of determining rules for interpersonal relations and work responsibilities and common respect for them
- Art of showing appreciation and giving praise and express criticism
- General natural image and cultured behavior.

#### **4. The types of authority and the term “global authority”**

What are the types of authority? What are the problems of classifying authority? The most serious issue is the actual identification of valid classifying criteria. It is not a complete survey, which is our biggest concern and moreover, some classifying differences are mutually overlapping. Regarding the fact that we will use some terms in thinking about the problems of authority in education, it is inevitable to mention the criteria at least briefly.

The first criterion to consider could be genetic (possibly differentiates between the authority natural and authority gained). Another significant criterion is generally the social point of view. According to social status, we can classify authority as personal, positional and functional. With regard to the effects in the behaviour of social environment, we can determine real authority and apparent authority. In view of social prestige, authority is divided into formal and informal type. According to the bearer within a historic development we recognise parental authority, authority of the older, authority of governors, religious, official or scientific authority. Last but not least, we can speak about statutory, charismatic, special and moral authority.

A complicated task felt by each of us is to find the scope of the relations between the individual types of authority while using them in particular situations – in professional and personal life. The emphasis placed on proper links and balance in using statutory, expert, moral and personal (charismatic) authority becomes a challenge even in the school and family conditions. A person can represent a great degree of authority while another is respected due to his/her human and moral qualities where the others are recognised only by their statutory authority and consequently, his/her position of power. A good combination of all kinds of authority, although conditioned by individual situations as well as by time constraints, is labelled by the term “global authority”.

“Authority can be generally determined as a significant form of realising power which is based on more or less general recognition of authority, legality, certain influence of a person, institution or a group. It is a commonly accepted fact that authority differs from power which is based on direct enforcement, by its legalisation – i.e. to a certain extent, a particular person, institution or group is entitled to carry out the power, especially stimulating, enforcing, organising and controlling human activities as well as expressing and co-ordinating individual and group interests.”<sup>[4]</sup>

#### **5. What are the relations between teacher’s authority and education – looking for interrelations**

When specifying the term “authority” the scientific interpretation must be necessarily taken into account. From the professional literature it follows that there is no consentient interpretation of the authority conception and that it is a very complicated term which is often used very freely, inaccurately and which sometimes is even misinterpreted (the authority is considered to be personal, natural and is also connected with power, rulers, official or directive authority; this term is also used in relation to authoritative conduct, authority of supervisors, adults, parents and older people, educator’s and teacher’s authority, authoritative, autocratic and authoritarian style of education, authoritarian personality, anti- authoritative pedagogy, authoritative style of management and social pressure).

Unfortunately the confusion concerning its contents, however, belongs to characteristic features of the modern time and enables darkening or covering of an important range of other terms associated with authority (e.g. freedom, discipline, manipulation, responsibility, blame, influence, power, values, standards). The elaboration of a more complex theoretical basis will follow in the present grant project placing accent on comparison of theoretical papers from abroad <sup>[5]</sup>.

The process of looking for interrelations between the education and authority can be viewed and discussed on three interlinked levels and the approach to each of them depends on the contents of the following points of view:

- a) Macro-social ( involves above all the interrelation between authority and education in the society in its broadest context);
- b) Micro-social or interpersonal (it concerns largely topics as values, conduct standards, rules and principles which are determined e.g. by family life or rules of conduct at school);
- c) Interpersonal (it is aimed at investigation of the process of learning standards and value orientation from each other and the means largely influencing individuals).

Attention in the present project will be in particular paid to the interpersonal level. We are convinced that this will be satisfactorily dealt by the proposed research investigation as it is important for our purposes. How the relation between the authority and the education can be expressed? The standards and values of the society are based on the authority and they can also be enforced through it. The way of their presentation is at the same time a matter of the educational process in coherence with educational styles, the approach of parents, the kind of management and the applied degree of emotional relation between adults and children - teachers and students.

Education and authority can be perceived as being of the same origin and therefore authority based on this thesis cannot be separated from education – in both cases it concerns the presentation of values and standards of the society.

## **6. The authority as social relationship between student and teacher**

The above mentioned contemplation reflects the constant strive for finding an answer to one of the most essential questions: to what extent should the school, parents, adults intervene in a child's development? Each type of education is, to a certain extent, authoritative in facilitating the young individual's search for a place in the world of adults, teaching him/her to respect the rules which are important for his/her development and for the functioning of the social group. The practice – not only educational one – strongly indicates that school, family and society fail to complete its tasks without authority and reasonable rules thus, losing its value, firm position, securities and basic functions.

People sometimes state that a person either has authority or lacks it. This opinion perceives authority as a human characteristic feature regardless of its dynamics and social aspects. Thinking of authority as of the mutual relationship between the bearer of authority (e.g. a person who influences people around him/her) and the receiver (e.g. the “addressee” of the influence, who respects the bearer and accepts him/her to a certain extent), we have to keep two basic aspects in mind:

- a) Aspect of relativity – an individual gains authority within a limited period, in relation to his/her social surroundings, towards certain people, particular groups (e.g. at work, in family, in a group of special interest). Not necessarily has the person the same “extent” of authority in different spheres of his/her influence, in different social groups, in limited time and towards particular members of the group. Social conditioning of authority casts doubt in understanding authority as a human feature which a person is endowed, regardless of his/her surrounding sphere (perhaps there exist such features which help a person to gain and keep authority);
- b) Aspect of asymmetry – the bearer of authority has a decisive, overwhelming impact creating the relationship of superiority and inferiority, the dimension of leadership and following. The asymmetry of a relationship can originate in a formal position of the bearer as well as in

his/her informal position, respectively in the combination of both. The receiver of authority conditions the existence of authority by respecting the bearer and by accepting his/her influence <sup>[6]</sup>.

Tempting to understand authority as a social relationship we are perhaps able to better explain its links with education. However, authority can be interpreted as a “play” of social roles where one part of the relationship is formed by the “leading” role while the other by the “following” role (e.g. parent – child, teacher – pupil, lecturer - student). Both roles help to form each other, they tend to be mutually balanced, they are complementary, although asymmetrical (they cannot be identified with each other). Eventually, it is essential to respect the specificity of social roles and competencies ensuing from these roles. The dynamics of relations in the educational process depends on a co-participation of all the present actors -teachers and students.

The conception of teacher pedagogical and psychological preparation could probably respect the following requirements:

- a) Balance between particular components of socio-professional preparation (knowledge, activities, values)
- b) Balance between theoretical and practical components of psychological and pedagogical preparation
- c) Balance between empirical (based on experience) and cognitive (based on knowledge) activities

From the strategic point of behavior, the teachers professional preparation should result in:

- Development of social competence
- Creation of teacher's independence in action

There is a range of many other questions concerning professional preparation of teachers and their authority. Is it possible to reach high professionalism within the framework of preparatory or another education or only in practice? Has introspection a place in the professional preparation of teachers? What role is played by psychological and pedagogical lessons in development of teachers social competence? What methodical principles can be used for development of their social capabilities?

It is increasingly evident from practice (not only educational) that the school, family and society are not able to fulfill its role without authority and a meaningful regime, loose their value, stability, certainty and also basic functions. We infer from experience that this topic is up-to-date not only in our country.

## 7. Conclusions

The term authority is also in coherence with such expressions as discipline, power, freedom, responsibility, morality, law, duty, tolerance, rule, fear ... True authority, however, cannot be only sought in schools but also among parents, citizens, politicians, in the laws, legal system and in the social system <sup>[7]</sup>. This is the only way in which young people can accept the faith and confidence in authority. School as an institution, school management and a team of educators can develop many positive features in young people but what they certainly cannot do is to replace the family and society.

Phenomenon of the authority and the recommended Decalogue:

- Authority as a multidimensional and multidisciplinary conception.
- The conception of authority does not constitute an isolated problem.
- Authority does not mean authoritarianism.
- Authority is not in contradiction with criticism.
- Authority does not necessarily lead to conformity.
- Authority expresses relationship.
- The aspect of relativity and asymmetry in perception of the authority.
- Specifics of accepting and development of authority in different social environment.

- Development of authority as a long-term process.
- Danger of relativization of the authority in social context.

I think that the problems are actually not only in our country - in Czech Republic.

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# On Flipped Classroom in Business English Translation Course in the Context of Big Data

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**Keywords:** Big data; Business English Translation Course; Flipped Classroom.

**Abstract.** The paper sets out to probe into the Flipped Classroom of Business English Translation Course in the age of big data. Based on the prior studies, the paper aims to propose the new mode of teaching in Business English Translation, which includes three phases—pre-class, in-class and post-class. Besides, the paper also elaborates on the tasks, steps of each phase in order to pave the way for the future studies of Flipped Classroom.

## 1. Introduction

In current years, with the fast advancement of internet, Internet of things, cloud computing, 4G and smart phones have extended into every aspect of social life, which signifies the advent of Big Data Era. With the emergence of e-back pack, e-textbook and ipad, instructors and scholars are gradually awakening to the internal relationship between new technology and Flipped Classroom. The new technology provides a new platform for Flipped Classroom and meanwhile Flipped Classroom motivates the development of new technology.

## 2. Core concepts of Flipped Classroom

The learning approaches have close relations with internalization of information and knowledge. According to Jean Piaget's <sup>[1]</sup> research, there are two stages in the process of internalization of information---assimilation and adaption. Assimilation refers to integration of the newly acquired information into existing knowledge structure; adaption is defined as the process that the learners alter the existing knowledge structure to adapt to the new information. Based on this idea, internalization includes assimilated internalization and adapted internalization. However, according to Petitto's and Dunbar's <sup>[2]</sup> studies on students' acquisition of Law of Universal Gravitation, the process of information internalization can be categorized into three types: assimilated internalization, adapted internalization and gradual internalization. There are two features in gradual internalization: if the right concept repeatedly emerges in different contexts, there is little chance that the wrong concept does; the internalization of knowledge is not completed at one stroke but step by step.

There exist thousands of subtle correlations between the teaching model of Flipped Classroom and the concepts of internalization of information. The idea of Flipped Classroom was developed from the "Online Course" of American Khan Academy and soon attracted attention of scholars and researchers all over the world. The term of "Flipped Classroom" has been widely accepted, which literally means that the classroom is "flipped over". Flipped classroom is to flip over the teacher's role and the student's role to satisfy the need of internalization of information. In a traditional teacher-centered classroom, students acquire knowledge passively and therefore the internalization

of information is completed by finishing the assignments. In a Flipped Classroom, students acquire knowledge actively and the internalization of knowledge is accomplished through the three ways mentioned above.

The process of teaching in Flipped Classrooms has three steps: the first step is the phase of introductory questions. In accordance with the students' existing schemes and knowledge, the instructor proposes questions related to new information and activate students' enthusiasm to analyze and assimilate the new knowledge. This is the warm-up step. The second step is to watch videos. In this step, the teaching starts from the first, that is, through the internalization of new information, students may be aware of what they have not known about new knowledge. The third step is to find solutions to problems. In a traditional classroom, the third step is accomplished through assignments. In a Flipped Classroom, the third step is flipped over into the middle of the class. The teacher is not the center of the classroom but the participant of class discussions and encourages students to solve problems by themselves. It is the last but not the least step.

### **3. Necessity and feasibility of application of Flipped Classroom to Business English Translation Course**

Business English Translation Course is one of the most important courses in Business English Major. What the instructors teach is about stylistic analysis of business texts, translation skills, and translation practices. The instructors often combine the explanation of translation features and skills with examples, and also ask students to finish relevant translation practices after class. This traditional teaching approach targets at the students' mastery of the translation skill and business text features---the primary internalization of information. Moreover, through assignments, the students put the skills they have learnt in class into real practices, by which they accomplish the second internalization of knowledge. Here, the traditional teaching approach manages to teach the knowledge of translation skills. But the business English translation is featured as "language output". In light of that, the explanation of translation skill and the knowledge of business texts can fulfill the students' needs of translation practices and fail to solve the problems students may face in the process of translation. According to Xie Jiankui's <sup>[3]</sup> study, the problems in teacher-oriented business English translation course go as follows: a. the lack of interest and enthusiasm in learning; b. the lack of links between translation skills and translation practices; c. students' incompetence in translation after the acquisition of translation skills.

Because of the above problems, it is urgent to reform the teaching mode of business English translation course and it is feasible to do so in the coming of big data times. The development of Flipped Classrooms is the new direction of the reform. In the first place, the center of Flipped Classroom shifts from teachers to students, which will fully arouse students' enthusiasm. In the second place, the focus of contents in Flipped Classrooms is converted from knowledge imparting to find solutions to students' real problems, which assists students to internalize the information on translation skills. In the last place, the acceptance of translation information varies from individual to individual due to the difference in individual language proficiency and how much they know. By watching videos, the students may select the contents based on their own comprehension and acceptance. Therefore, the methods in Flipped Classrooms may help students more effectively to acquire new knowledge and information than traditional teaching approaches.

### **4. Organization of Flipped Classroom in Business English Translation Course**

It should be admitted that the mode of Flipped Classroom is not equivalent to the process of video-watching and problem-solving. The mode should take objectives, procedure, students' knowledge structure and etc. into consideration and therefore it is a must to organize the teaching process in a scientific way <sup>[4]</sup>.



#### **4.1 Making videos**

The micro-learning video is the appropriate form of visual materials in Flipped Classroom. Compared with the 45-min classroom video, the micro-learning ones are much shorter and can be made in more various manners. However, it still takes plenty of time and energy for the instructors to learn how to make micro-learning videos and investigate the cooperation of videos and teaching procedure. Therefore, it is advisable for an instructor to make a video for a demonstration lesson. As for the videos of the whole semester or a course, the videos should be made by a team or bought by the university.

#### **4.2 Solving problems in class**

Solving problems in class is one of the most important ways to examine the results of internalization of information and to conduct the second internalization of knowledge. Instructors should give brief introduction to the contents of micro-learning videos and make a gist of what they are going to learn in class. Then, instructors collect and summarize students' questions. After that, the instructor gives questions back to the students who give answers to these questions through group discussion.

#### **4.3 Evaluation after class**

How to evaluate the results of Flipped Classroom is still in dispute. Timely evaluation strategy is believed to be an effective way to give feedbacks to students. This strategy is to be accomplished on or off line; the ways to give feedbacks vary for example, putting forward questions, quiz, assignments or even by handwork. Timely evaluation strategy may aid teachers to know well about students' learning.

#### **4.4 Selection of textbooks**

In recent years, the mode of teaching in Flipped Classroom has flourished in China. It is hard to find suitable textbooks that agree with the teaching approaches in Flipped Classroom. Therefore, instructors have to compile the textbooks on their own to go with the new mode of teaching. The principles should be followed in compiling the textbooks of Flipped Classroom: a. textbooks and videos should complement each other; b. the textbooks should observe the guidance from the beginning to expert; c. the relevant practices for students should be included.

### **5. Conclusion**

The development of information technology is to bring about the reform of instructive approaches. It seems to see the future through the mode of Flipped Classroom. But how can business English translation course take full advantage of Flipped Classroom? In Flipped Classroom, what is student's leaning state and condition? How can the scholars and researchers compile the textbooks which fit the requirements of Flipped Classroom? These questions are to be considered carefully. In the follow-up studies, the researchers should also pay attention to the similarities and differences between teaching approaches of Flipped Classroom and those of other teaching models.

### **6. Acknowledgement**

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## The Regional Language in Education: The Case of the Republic of Tatarstan, Russian Federation

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**Keywords:** Multi-ethnicity; Model of language policy; Language education; Language planning; Ethnic community.

**Abstract.** The ethnic, linguistic diversity preservation in a multiethnic society is a guarantee of the security, the social stability and the intellectual development of the state. Generation of real demand and functional necessity of not only federal language, but also official languages at the regional level and ethnic minority languages is no doubt. The implementation of the language law depends on the language policy regionalization within this paper, it is provided an analysis of the mechanisms of preservation, protection and development of the state language and other languages in the Republic of Tatarstan to determine the effectiveness and challenges faced by the regionalization of the language policy.

### 1. Introduction

Structural social changes and reality offered in the context of biculturalism and multiculturalism compels the government to create a model of politically stable and consolidated civil society. The problem of language functioning in bicultural and multicultural communities covers all the layers of social life and is considered at the levels of ideology and political process. It often goes beyond particular regions and countries and becomes the problem of interstate and international relationship. The problem of generation, development, extinction and expire of cultures and languages are evolutionary and can be considered as a natural process that comes with society modernization and nation building. However, in modern globalized world, when language functionality scarcely depends on historical conditions, minority languages become especially vulnerable and the processes of their development should be controlled by the state. In many state formations (Russia, European Union, Canada etc) the idea of protecting and keeping cultural and language variety as a national heritage is of prime importance. V.V. Putin, president of Russia, often emphasizes that Russia “has specific regional character and ethnocultural and religious variety that has been kept for centuries without any suppression. And, today its protection ensures not only solid Russian state but also [...] competitive advantage.”<sup>[17]</sup> In bicultural and multicultural communities protection and development of native language is an issue of ethnic community’s self-identity, keeping its traditions and originality and their heritage for future generations. Established language models become

old-fashioned and stop working, consequently, it becomes strategically important in the context of state security to find a conception of language policy appropriate to a particular state formation or region. This is confirmed by the creation of Federal Agency on Ethnic Affairs in March 2015 pursuant to the President's decree №168. One of its functions is to protect the right of ethnic minorities and indigenous ethnic groups to use native languages<sup>[20]</sup>. Strategy for State Ethnic Policy of the Russian Federation for the

Period up to 2025 was confirmed in December 2012 pursuant to the President's Decree №1666. This document describes the strategy of the Russian Federation for working with its minority and majority ethnic groups. The main questions of state national policy of Russian demanding special attention of the state and municipal bodies still are:

- Preserving and development of cultures and languages of the people of the Russian Federation strengthening of their spiritual community;
- Providing rights of indigenous ethnic groups and ethnic minorities;
- Creation of additional social and economic and political terms for providing strong national and international peace and harmony in the North Caucasus;
- Support of the compatriots living abroad, assistance to development of their communications with Russia.

According to quantitative and qualitative indices of functional power of the majority language and Russian language as the state languages, Tatarstan is one of the leading Russia's regions that offer their conception of language policy. This conclusion is based on the results of complex analysis devoted to functional development of the Tatar language and other regional languages of the Russian Federation offered by D.N. Mustafina.<sup>[11]</sup> Studying the issues of functional development of Russia's regional languages the scholar emphasizes that nowadays the Russian Federation aims at integrating with international entities including all European organizations. Common standard system is a stimulating and promising factor for equal cooperation in any sphere. Common principles of any activity, correspondence between rights and guarantees for the protection enable long-term cooperation.<sup>[12]</sup>

The issue of personal ethnocultural identity is very important in the context of cross-cultural interaction is very important in Tatarstan. The republic's population unites more than 173 nationalities. Multilingualism and multiculturalism are determining characteristics of the population of the republic. Tatarstan language policy is confirmed by the provisions of the Constitution of the Russian Federation: (art.26, para.2); (art.68, para.2).

Regular development of a society depends on the level of education of people. We agree with M.B. Druzhinina that modern system of education is characterized by a number of discrepancies: between gnosiological and humanistic approaches, between objectivity and subjectivity, between mass reproduction and individual creativity, between flexibility and stiffness of the system, between Federal State Educational and society's demands, between scheduling and creativity.<sup>[3]</sup> Ultimately, a graduate is the product of state educational system who has a range of competencies defined by state social mandate. The degree of its realization depends on educational system which includes cultural, educational, statutory and regulatory and other road maps (educational standards, curricula, academic programs etc.)<sup>[3, p. 63-64]</sup>, particular administrative unit and particular educational institution.

Council for Cultural Co-Operation and Educational Committee in Strasbourg agreed that changes in education are an important factor for implementing language policy. This challenge concerns the following: development of knowledge infrastructure, information technologies, formation of a social class that is capable of knowledge perception, continuous knowledge upgrading, emphasis on demand and supply in education, integration of external and internal quality control in learning institutions, enforcement of the right for high-quality education, tendency of schools for self-government, changes in teaching methods, organization of professional training courses, introduction of credit systems, teaching real languages and cultures<sup>[9]</sup>.

## 2. Research methods and results

In our research we raised the following questions. Does minority and regional languages development program correspond with National Program of the Republic of Tatarstan on the preservation, study and development of the languages of the Republic of Tatarstan? How do state authorities use language policy for the purpose of political and cultural governance?

Assumed complex of methods is defined by a number of questions under study within this project, namely, collecting and processing initial information, documents analysis with data interpreting, which are important from the investigators' point of view and comparative description (parallel and consecutive). To define the level of language loyalty and tolerance in the republic of Tatarstan the authors have analyzed the Secondary School documentation, such as Education Area and State Program of the Republic of Tatarstan for Protecting, Studying and Developing State Languages of the Republic of Tatarstan and Other Languages in the Republic of Tatarstan for 2004-2013, annual reports of the Ministry of the Education.

Today, the aim of the language policy in the Republic of Tatarstan should not only be the protection of Russian as the state and cross-national communication language, as proposed in the framework of the federal legislation, but the protection of particularly disadvantaged languages that is title language of the region - Tatar, which has the status of co-official, and other languages as cultural and national heritage of the Republic of Tatarstan.

As we have mentioned earlier, these provisions are disclosed in the federal and national laws and other legal documents such as "Education Act", "Culture Act", "Mass media Act", the regulations and programs implemented by public authorities.

The level of language proficiency of state and other languages demonstrate practical regionalization of language policy in the republic of Tatarstan. It includes state programs and language planning road maps aiming at preserving, studying and development of the languages of ethnic communities of the republic of Tatarstan. The key point of the national language policy of the republic is understanding the language as a "social institution". In other words dealing with social and economic aspects of society's life the language is a part of society's culture but doesn't exhaust it. "The language of an ethnicity is a powerful part of its ethnic culture which develops together with generation of an ethnicity and it is an essential condition of its existence"<sup>[1]</sup> The national language policy of the republic of Tatarstan contributes to the cultural and language diversity of the region. According to the 2010 National Census of Russia the ethnic composition of the republic is the following: Tatars are the most numerous ethnic group, representing 53,2% of the utmost population. The second largest group is Russians – 39,7%. Chuvash make 3,1%; Udmurts (0,6%), Mordva (0,5%), Maris (0,5) represent not more than 1% each. Other indigenous peoples and minorities form 2,4% of the population. The report (2013-2014) of the Ministry of Education of Tatarstan shows that there are 1515 educational institutions in the republic. In all of them the process of education is conducted in two state languages (Russian and Tatar). Out of total educational institutions there 853 schools with teaching subjects in Tatar; schools with Chuvash learning process - 96; with the Udmurt language - 34, with the Mari language - 18, with the Mordovan language - 4, with Hebrew - 1, with the Bashkir language – 1. In accordance with the language policy the process of language learning implies continuity, scope of people of all ages and social groups. Meanwhile it motivates language loyalty and strengthening the communicative power of the language.

With a clear understanding that "sustainable development of the society depends on educational system and on the level of education of its citizens"<sup>[5]</sup> the language policy of the republic of Tatarstan is focused on the development of communicative power and communicative culture of its citizens as well as on the educating a bilingual who identifies himself with a certain ethnic culture.

The Strategy for State Ethnic Policy was confirmed on 26 July 2013 pursuant to the President's Decree №695.

The main questions of Tatarstan state national policy demanding special attention are:

- Preserving and development of cultures and languages of the people living in the republic of Tatarstan, strengthening their spiritual activity;
- Providing positive interethnic, interreligious interaction of the peoples living on the territory of the republic of Tatarstan;
- Prevention and eradication of any forms of discrimination on signs of ethnic, racial or religious identity;
- Creation of conditions for social and cultural adaptation and integration of immigrants;
- Strengthening of the status of Tatarstan as a historic, spiritual, ethno-cultural center of Tatars, creation of conditions for intellectual economic and other kinds of consolidation of Tatars;
- Further strengthening of the state unity and spiritual community forming of the all-Russian civil consciousness contributing to economic, social and ethno-cultural development of the country.

So it's evident that national language policy of the republic of Tatarstan follows the principles of multilingualism accepted by the world community.

According to the language policy of the Republic of Tatarstan, the process of language learning for the society presupposes continuity, coverage of different age and social groups; the mechanisms of its implementation motivate language loyalty and maintenance of communicative availability of languages.

Consistent implementation of the language policy and its regionalization requires improvement and in some aspects the reconsideration of curricula at all levels of the educational system. It is necessary to make regional dictionaries (vernacular dictionaries) available, to resume the work on the production of reference materials and expert services hot lines, to develop qualification requirements for official languages proficiency in the official languages (including regional ones) for public servants, media practitioners, to continue the work on the creation of frequency word books for different categories of users.

Particular attention should be paid to the preservation of unique national world image and its transferring to coming generations.

A positive review of the road map "The Republic of Tatarstan State program on conservation, research and development of the official languages of the Republic of Tatarstan and other languages in the Republic of Tatarstan for 2004-2013" in "Educational sphere" has been given in the article "Regional languages of Russia and countries of the North American region: prospects for comparative analysis"

Proposed by the "State program of the Republic of Tatarstan" mechanisms are implemented through the formalization of educational language learning programs at various stages of the educational process (kindergartens, schools, colleges and universities) as well as teaching materials for one of the official languages both native and non-native are being developed, sample models of educational standards for each grade level are introduced.

But for effectiveness of greater loyalty to the state and other languages of the Republic of Tatarstan it is necessary to upgrade the degree of informal education with the assistance of the public (tutors - secondary language speakers who are not professional teachers, theatrical community; volunteers providing assistance, both financial and organizational support for various events, engaging high school students with an advanced level for teaching students with a low level of secondary language etc.)

There is a similar problem in the development of all the national languages of the Russian Federation peoples. It is the preservation and creation of conditions for the development of the literary language as cultural heritage and national property as well as protection of linguistic persona who is the bearer of national world image.

### 3. Conclusion

The necessity of state language (or languages) competence imposes legislatively some obligations on a citizen thus limiting, to a certain extent, the constitutionally guaranteed rights and freedoms. Regulating the procedure of citizens - legislation interaction in the field of language policy and linguistic relations, the state provides “the process of teaching, learning and using official language, and assures the implementation of the ethno-linguistic interests of the citizens who are not native speakers of the official language” (20)

The aim of the language policy of the Republic of Tatarstan is a "bi- or polylingual citizen of the Republic of Tatarstan respecting other members of the society" but in a greater degree it is the product of Tatarstan educational system, created with support of all the other language management mechanisms. Studies in the degree of motivation and language loyalty of society members reflect to some extent the linguistic situation, help to make a sober estimate of culture-specific concepts in which the language exists, to model the image of the future language; language policy and tactical issues of the state.

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## Study Motivational Competition: A Strategy to Develop Winning Attitude in Weak Students

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**Keywords:** Weak students; Study motivational competition; Avionics engineering; Winning attitude; Electrical network analysis.

**Abstract.** Avionics Engineering is one of the toughest disciplines among all education fields. The scheme of studies of Avionics Engineering consists of some very difficult foundation and core subjects i-e Linear Circuit Analysis, Electrical Network Analysis, Signals and Systems, Linear Control Systems and Power Electronics etc and they all require sound background of Physics and Mathematics. The students weak in these prerequisite subjects face difficulties to understand and solve problems of these subjects and also lose their confidence. This paper presents a strategy called Study Motivational Competition (SMC) to encourage weak students to not only involve in continuous practice of problem solving which consequently improve their grades but also develop winning attitude in them. In this strategy, a competition of problem solving of particular subject is organized and the whole class is divided in groups with four students each. One of the key rules of this competition is that every group is led by the weakest student of the group. In this paper a case study of SMC on two classes of Avionics Engineering for subject of Electrical Network Analysis is presented and results have shown that SMC not only improves their results but also induce winning attitude in them.

### 1. Introduction

Avionics Engineering (AE) degree is a study of one of the most dynamic branches of engineering and focuses on the application of electricity, electronics and electromagnetism. Avionics engineers are the individuals who make the systems and create technologies to connect and process information. Although students weak in Mathematics and Physics subjects which are prerequisites of AE will face difficulty in understanding some of the subjects<sup>[1]</sup>. Therefore, those students who fail to cope with the difficulty level of initial semester subjects based on concepts of Mathematics and Physics will continuously lose their confidence and will permanently go in to the shell and they will only try to pass the degree at lowest level. Even students with good knowledge of prerequisites subjects face difficulty in first and second year of engineering studies. One of the core reasons of this issue is the knowledge gap in mathematics between the 12<sup>th</sup> grade class and first year of engineering<sup>[2]</sup>. Pakistan is facing the same issue in their education sector as there exists mathematics knowledge gap between the 12<sup>th</sup> grade class and the first year of engineering studies therefore students with strong grip on mathematics and physics will only pass the initial semesters with good grades. Solution to this deficiency is to continuously engage weak students in solving the exercises of different chapters of difficult subjects. Weak students will only indulge in hard work by introducing some creativity in their style of studies. Creativity has a strong relation with education and it goes back to Plato's age<sup>[3]</sup> and is found in the Muslim, Greek, Christians and Judiac traditions<sup>[4]</sup>. Even the purported failure of engineers from USA, Europe and other western countries was due to lack of creativity in their work

and in their thinking and this letdown led to the National Defence Education Act (USA) to accept the concept as important for prosperity and survival of society<sup>[5]</sup>. The role of education institutions has been questioned and blamed for “spoon feeding” and “killing” creativity<sup>[6, 7]</sup>. Therefore, creativity is a strong ingredient of quality education. In this paper case study based on a new creative strategy “Study Motivational Competition” (SSM) is presented to not only improve skills of weak students in mathematics and physics based engineering courses but also develop winning attitude in those students who feel that they only require to complete engineering degree with low grades as they have been admitted in engineering degree. The case study is presented of two classes of AE of Superior University Pakistan for the subject of ENA. Section 2 elaborates the subject ENA and why it is chosen to test SMC strategy. In section 3 policies and rules of SMC are defined. Section 4 presents the case studies of two classes of AE. The number of improvements occurred in weak students are identified in section 5 and finally conclusion is elaborated.

## **2. The course: electrical network analysis**

ENA is a foundation course of AE and it provides foundation in analog signal processing which is further required to study digital signal processing, communications, control and electronics<sup>[8]</sup>. The key course contents of ENA are analysis of RLC circuits excited by time varying voltage sources, RLC circuits representations in differential equation with their solutions, sinusoidal and phasor representation, analysis of ac circuits by using some techniques or theorems i-e nodal analysis, mesh analysis, superposition theorem and other theorems. Polyphase balanced and unbalanced circuits, concepts of mutual inductance and passive and active filters are also studied in this course<sup>[8]</sup>. The contents of subject clearly show that good concepts of mathematics and physics are required to understand the course and solve the practice problems. Therefore, students weak in prerequisites cannot effectively understand the course and thus fail to get good grades and even some time get ‘F’ grade. As this subject is prerequisite of number of courses so F grade in this subject will result in less understanding of upcoming core courses and finally if a student passed out from university with low grades in these core subjects he will be a weak candidate for any engineering based job. Therefore, this subject is chosen to apply SMC strategy on AE students and check if any improvements rise in the weak students. The policies of SMC are elaborated in following section.

## **3. Study motivational competition policies**

Creativity is an important element of quality education and SMC strategy is a creative idea based on thinking to achieve the following objectives:

- Engage the class in a healthy educational competition to make them think out of the box.
- Motivate weak students to take actively participate in class.
- Indulge weak students to solve exercise problems.
- Encourage the spirit of teamwork by guiding talented and bright students to support weak students in understanding the course.
- Develop winning attitude in weak students by giving them responsibility to organize the whole event.
- Reduce teacher student gap by guiding the weak students to invite the department faculty and even high ranked persons of the university.

To achieve the above objectives SMC is arranged. The policies of SMC are divided in two phases. The first phase is about the criteria to make groups of students and how they will prepare for competition. The second phase will define the rules and regulations to be followed by students during competition and evaluation criteria for winner of competition. The SMC policies in terms of phases are elaborated below:

### **3.1 First phase policies**

The first phase policies are precisely defined below:

- 1) The whole class of AE is divided in groups with four members in each group.
- 2) Each group is assigned a unique name related to their field of AE.
- 3) Leader of every group will be the weakest student of the group.
- 4) Every group has one bright student and two good students.
- 5) Inform the course content and the competition paper format to the students.
- 6) The group members will make sure to collaborate with the group leader effectively as their win is the part of leader win.
- 7) All group leaders will make all the arrangements i-e promotion, decoration, invitation, venue selection and relevant arrangements.

### 3.2 Second phase policies

The second phase policies are precisely defined below:

- 1) Allocate sitting plan to each group.
- 2) Each group leader can only solve the competition problem by hand and other members can only guide him about the formulas and can use calculator to assist the leader.
- 3) Group member cannot solve anything on paper and mobile phones are not allowed.
- 4) Specific duration of time will be allocated for competition.
- 5) For evaluation, the evaluation team will continuously verify the answers of questions solved by groups so that if group solve one question correctly than he will move to next one.
- 6) The group solve all questions correctly first will be declared as winner.
- 7) If no group becomes successful in solving all questions and allocated time completed the group with maximum correct solved answers will be declared as a winner.
- 8) Prize will be given to the winner group.

The case study of two classes of AE is presented in following section.

## 4. Case study

The SMC strategy is tested for two classes of AE of Superior University, Pakistan in 2016 and 2017 consecutively for the subject of ENA. First time it was tested on Batch 1 of AE students. The list of group names with their respective leaders and members along with their GPAs are shown in Table 1.

Tab.1 Group division of Batch 1 of AE Students

S.No.	Group Name	Group Members	CGPA
1	Aviators	M. Haris Zaman (G.L)	2.33
		Nasir Ali	3.47
		Zahoor Ullah	2.93
		Qasim Khalid	3.14
2	Falcons	Umar Masood (G.L)	2.09
		Muhammad Shahzad	2.90
		Shoaib Hanif	2.49
		Muzammil Riaz	3.34
3	Gliders	Faraz Ahma	3.13
		Karamat Subhani (G.L)	2.61
		Ahsan Khalid	2.77
		Awais Younis	3.71
4	Air Raiders	Sheraz Tariq	3.01
		M. Tayab Anjum (G.L)	2.25
		Zeeshan Nasim	3.47
		Mudasir Nazir	2.85
		Ali Adil Khan	3.05

In above table the term G.L stands for group leader and it is also clear that in every group the weakest student is the leader and every group is balanced. SMC was successfully organized for above students and the winner group was “Air Raiders” with group leader Mr. Tayab Anjum. The second

competition has been organized for the students of Batch 2 of AE and again for the subject of ENA. The class was divided in the following groups shown in Table 2.

Tab.2 Group division of Batch 2 of AE Students

S.No.	Group Name	Group Members	CGPA
1	Aviators	Saqib Hussain (G.L)	2.80
		Muhammad Abdullah	3.05
		Ahmad Jilani	3.65
		Talha Arsalan	2.88
2	Falcons	Umair Taaji (G.L)	2.50
		Umar Saleem	2.55
		Fazeel Athar	3.27
		Ahmad Saeed	2.83
3	Gliders	Umar Saeed (G.L)	2.20
		Khujasta Khalid	3.89
		Zaigham Abbas	3.31
		Asba Salahudin	3.27
4	Air Raiders	M. Faheem (G.L)	2.40
		Ahmad Raza	2.56
		Wardah Ali haider	3.77
		Tahir Yaseen	2.70
5	Five Fighters	Mohsin raza (G.L)	2.20
		Jawad Hadi	3.26
		Ahmad Faraz	2.80
		Shahzaib Sultan	3.00
		Zeeshan Haider	2.43

The above table shows the group names and the respective leaders of each group with their members and it is also evident from above table that weakest member of group is the leader and every group is balanced. SMC was successfully organized for above students of Batch 2 and winner group was Gliders at this time.

## 5. Impact of SMC on weak students

Successful execution of SMC results in tremendous improvement in the final term and midterm result of weak students as compared to their sessional marks based on quizzes and assignments taken before the SMC. SMC not only produces positive results in grades but also develops winning attitude in the students who feel they cannot win and they will not be able to make any difference. SMC also improves the teacher student relationship and weak students start thinking out of the box and starts actively participating in studies. Last but not the least SMC gets whole class to make arrangements of an event combinedly thus improving team spirit and team work culture in class.

## 6. Conclusion

Avionics Engineering education is one of the tough studies and require excellent Mathematics and Physics background to understand some of the difficult foundation and core courses. Students with deficiency in prerequisites face difficulty in understanding some courses and consequently goes in to the shell and stop participating in class activities only tries to pass the course. Therefore, this paper supports the idea to add creativity in education by arranging study motivational competition (SMC) for difficult courses. In this paper a case study of SMC for two classes of AE for one of the foundation subjects ENA is presented. The SMC strategy not only encourage weak students to work hard and get good grades but also develops positive and winning attitude in them. Moreover, SMC provides a chance to practice teamwork and increase the level of team spirit.

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# The Construction Strategy and Methods of Windows Programming Online Digital Resource Course

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**Keywords:** Online learning system; Excellent resource courses; Windows programming; Construction strategy.

**Abstract.** With the popularity of mobile Internet, online courses learning systems have become increasingly popular and many excellent courses are uploaded to the network, so that more people can learn online courses. Online courses have many advantages, but also have many shortcomings and these issues are discussed in the paper. This paper introduces the construction of online course of Windows programming course, and mainly discusses the related topics, including the purpose and significance of online digital resource curriculum construction. It contains the purpose and meaning, construction methods, the course content of construction, the problems encountered and how to evaluate the effect of online learning. The construction of digital excellent courses is of great help to university teaching.

## 1. Introduction

The online courses are playing an increasingly important role in university education in the current network technology and internet conditions. The concept of Massive Open Online Course has been proposed and popularized <sup>[1]</sup>. It has many characteristics, such as large-scale, community-based, open, and interactive and so on. Its construction is based on the network platform and it provides a lot of network resources for students to learn. It includes video resources, courseware resources, learning materials, online operations, online examinations, online question and answer and so on. Although there is a corresponding online course resources, but students do not make good use of these resources <sup>[2]</sup>. A variety of online course learning systems have been proposed, such as Coursera, Edx, Udacity and so on. Coursera provides online learning system and it works with universities and institutions and offers online courses for people to learn <sup>[3]</sup>. Many schools have begun to provide online courses of resources, to achieve the sharing of resources. Windows programming course is an elective course of software engineering and it mainly teaches software development technology under Windows operating system and it includes the basic concepts and methods. This course introduces API programming and MFC programming and the various contents of MFC programming are described in detail. Through this course, students can master the basic Windows programming technology, familiar with object-oriented programming ideas, familiar with the Windows message response mechanism and principles, can use MFC to develop basic Windows software. The course is a very practical course, there is no profound theoretical knowledge, as long as the students can be skilled operation and make more practice, the students can grasp the course content. So the teacher needs to provide students with detailed operating procedures. However, in the classroom, teachers mainly provide live demonstrations for students, classroom hours are limited, students may not be able to quickly grasp and remember in a short time. Online course system can solve this problem very

well. The course content videos are uploaded to the online course system, allowing students to view these classroom videos in their spare time. And the use of online courses system, so that students can communicate with teachers and students in order to facilitate the settlement of some of the problems encountered in programming. The traditional curriculum is a unified set in the teaching objectives, teaching and evaluation and other aspects of implementation and it does not have the flexibility characteristic, does not adapt to the network course study characteristic. Online teaching platform is not uniform and a school generally do not have the ability to develop their own platform. Development of a practical platform need to consider a variety of factors such as technical, personnel, maintenance and other issues and systems need to have the strength of institutions to achieve. Each school uses a variety of teaching platforms, cannot communicate. The function of the system should be perfect and easy to use. A good teaching platform can promote curriculum construction, provide students with a learning process system.

Traditional subject teaching is inflexible and has time and space constraints, while online courses are free from time and space constraints. Online system has been maintained online, can continue to use the cycle. A construction can be used many times. Video courses are generally only more than ten minutes, focus on the elaboration of a knowledge point, students can use a fragmented time to complete a video learning. This provides more flexibility and convenience, it is not limited to a fixed place, Classroom teaching inside the classroom cannot achieve this effect. The traditional classroom teaching content of teachers has a long time, students are prone to boredom. The learning system can meet the current mobile Internet technology scene. Students can easily use the mobile phones, tablets, notebooks and other mobile devices to participate in learning at any time. Online courses are shared, it realizes the internal and external resources sharing, It provides many learners with educational opportunities, rather than classroom teaching which has the limited students to learn. A quality online course can provide learning resources for countless students. Its online learning material is lasting and the classroom teaching is temporary.

If the course platform design is not strict, the students are easy to get credits through cheating. Such as video learning, should be a complete learning on their own, but some students may skip ahead through technical means. In addition, it cannot determine whether the person learning is the student himself. The online course system lacks the immersive teaching experience and it lacks the real-time interactive teaching link. Students only interact through the message, not real-time questions and answers interaction. Some courses may not be suitable for online courses, and students may not be able to grasp it clearly and completely just through the video. Many of the quality of training cannot learn through the network course. Universities should actively explore online courses, but cannot rely solely on online courses. Teachers should combine online courses with classroom topics to improve university education in all directions. The online learning system lacks individualized education, because it is a unified teaching resource, cannot carry on the face-to-face individual teaching to the student. It lacks diversity teaching, students mainly through the video to learn, there is no other aspects of quality education, such as learning methods, learning atmosphere, students cannot access these valuable experiences. In addition, the lack of campus environment, no life experience, students cannot experience the content other than course study. The results obtained through the online learning system cannot be recognized universally by the community. In addition, there is no uniform standard how to measure the quality of online courses. If there is no quality standards, then it cannot guarantee its teaching effect.

It provides an effective complement to university teaching with its sharing and mobility characteristics. It promoted the traditional teaching reform and innovation. University teaching should actively adapt to the mobile Internet era and actively put the curriculum resources on the Internet, put forward a new course learning mechanism. It makes university teaching more plentiful. This online curriculum based on the individual requirements, to promote more diversified university education. The focus of teachers is not on the teaching of knowledge, but how to inspire students to learn and improve students' self-learning ability <sup>[4]</sup>.

The Windows programming lesson is an elective in software engineering. In the construction of online courses, we should pay attention to the course construction process. The course leader is mainly responsible for the construction of the curriculum, including curriculum syllabus, course implementation plan, curriculum resource content, curriculum assessment mechanism and so on. The course teacher's main job is to compile curriculum resources, including course video, course courseware, course work and so on.

## **2. The construction strategy**

This course mainly introduces Visual C++ programming environment, the basic conception and method of program development under Windows environment and the basic method of MFC program based on Windows. Through this course, students can be familiar with the use of object-oriented programming language for Windows visual development, master the object-oriented programming ideas, familiar with object-oriented programming message response. Mastering the idea, method and skill of program design based on message mechanism in windows environment. Through the practice of computer, students can grasp the basic process of software development and the basic method of debugging program, and learn to use Visual C++ to write program to solve some practical problems. Through this course of study, students are required to achieve the following objectives of the overall course. Master the basic principles of Windows programming. Master the basic operation of Visual C++ programming tools. Master the basic content of MFC programming and get the ability to write general Windows applications. Master the Windows graphics device interface concept and master the commonly used drawing function. The course uses the case teaching, each knowledge spot has the corresponding case. The ease of use of the case is moderate and applies to most students. For some of the more outstanding students, courses can provide more difficult cases for them to self-study. For the experimental joints of the course, the experimental content includes the required questions and multiple choice questions. Each student must complete the required questions. The selected questions can be done by the students who have studied better. This approach allows each student to get the necessary practice of exercise, and can make some of the excellent students can get improved exercise.

In order to meet the individual learning objectives, the system is student-centered design and implementation. The teaching mode should be changed from teaching to learning as the center. The students are passive learning in the traditional classroom teacher-centered while the online course teaching is student-centered. The active learning of student is the one of purpose of online course.

In the Windows programming course, the curriculum is to develop students' practical ability as the core goal. Its teaching should not be a one-way teaching methods, but students take the initiative to learn. Students' active learning requires an essential learning platform and resources. Teachers put some course resources on the site ahead of time. So that students can be free to learn in a flexible time. Students can easily learn on the network using their own characteristics. In learning Windows programming course, the main focus on the cultivation of students' ability, including students' ability to learn and practice.

Schools must provide a mobility platform that meets the student's mobile learning requirements and is free from site constraints, and is free of learning time constraints to take advantage of various fragmentation times. For example, in windows programming courses, students can use the mobile version of the APP class to answer questions and the teacher can use it for classroom tests and class attendance. In the spare time, students can use the system for video learning, students can discuss and exchange. Students can ask questions to the teacher, students can also exchange feelings and experience between students.

The knowledge of the course is divided into a number of relatively independent, operational knowledge points. Teachers will design video teaching materials and teaching materials for each knowledge point. It tries to inspire students to programming and innovation and to strengthen the practice and discussion of the course in the decomposition of knowledge points. Windows



programming content can be broken down into separate knowledge points, for example, the graphics programming can be divided into several knowledge points such as the basic graphics operations, image display, text operations and then use the video to demonstrate the operations.

The excellent resource course needs to provide various teaching material to the online course learning system. Video resources occupy an important component in them. Students gain the knowledge of the course mainly through the video.

Video content is usually about ten minutes, emphasis on the introduction of a knowledge subject. Each video focuses on a knowledge point introduction. There are clear teaching objectives, short and pithy and it can facilitate students to use fragments of time to learn especially for mobile Internet scenes. Teachers can make videos that record computer screens, or make video with teacher images. There are many ways to create video, different video styles may have different effects on student learning<sup>[5]</sup>.

In the Windows programming course, the content of each video can be a case of a knowledge point of the demonstration process, such as dialog programming. The whole process of creating a dialog box can be displayed in video. In this way, students who do not understand it in the classroom can use the after-school online website to further study.

In the classroom, the teacher may be give just a quick explanation of a knowledge point because of the limited time available for this course. And some students may not immediately understand and master these knowledge points in the course of a limited time. Some students want to consolidate learning on a knowledge point and can make full use of online video to review the knowledge points.

Windows programming is a very practical course and there are a lot of steps in the operation and teachers will demonstrate these steps in the classroom for the students. But because there is no actual combat operations, students cannot profoundly understand and master these content. Then they can learn online video presentation, followed by step by step to do it. The teacher can explain every steps in the video for the students. Then the students can repeatedly see the video and achieve the purpose of proficiency. So that students can more easily understand the content of the course, to stimulate students' interest in learning and practical ability.

A complete online course should be divided into online and offline sections. The online section includes videos, exams, assignments, handouts, discussions, and more. The offline part includes classroom teaching, Q & A, discussion and so on. In the Windows programming course, there are experimental courses at each stage. In the experimental course, teachers will arrange some experimental topics for students to practice. Teachers can make full use of online courses to upload the experimental contents to the online system. The students submit the results of experiments to the system and teachers review the operation results in the online course system. This will facilitate students to submit their homework, but also facilitate the teacher to review operations. If the online course system can automatically review, which will greatly improve the efficiency of teaching and reduce the burden on teachers. However, due to the content format restrictions and technical reasons, this feature for different courses may not be achieved. Which requires the design developers of online course system can develop a more powerful system. With the development of information technology, with the continuous evolution of online systems, such intelligent and convenient functions will be realized continuously.

For Windows programming, in assessment links of the course, curriculum must pay special attention to the assessment of the programming ability and pay attention to the assessment of the usual links. At some knowledge points in the course, the teacher can make some quizzes for students to do. Through the quiz to detect the student's learning situation. In the quiz, the teacher can put forward some simple programming problems. These programming problems are raised mainly for certain knowledge points. Its purpose is to enable students to sum up the knowledge points of the stage. Another main purpose is to examine the students to master the degree of knowledge points.

In addition, in the final exam, the teacher must arrange some integrated programming problems. Its purpose is to examine the student's mastery of the whole curriculum, including the contents of each part. In the online course system, the teacher can arrange the unit job at the end of each chapter.

Questions include multiple choice questions, fill in the blank, and so on. Its role is to examine the students master the basic concepts and to urge students to understand the basic concepts in depth. In addition, teachers can arrange some extra-curricular operations, such as access to relevant information, to achieve some small features or modules. Teachers can assign jobs online, students can also submit jobs online. This makes it easy for the teacher to manage and review the student's assignments.

### **3. The problems encountered**

Because online courses need to provide a large amount of video data, it needs to preserve a large amount of information submitted from students. These need to take up a lot of network resources, such as server resources, network bandwidth resources. In addition, the online course system platform needs to provide high reliability, so as to avoid data loss, system crashes and other issues. As a result of these problems, a good online course platform is not so easy to build. It requires strong technical and financial support. The general schools do not have this condition, the school may need to cooperate with professional companies to complete. But here also involves the preservation of course content, is placed in the school server, or into the company's server. The content of the course management cannot be easily solved. Good systems need to have two aspects. One aspect is better management functionality. Teachers can easily manage, easy to release course content. Teachers can easily hand in the curriculum resources, easy maintenance of curriculum resources, easy to manage student information, easy to submit operating problems, to be able to fully manage the course of learning and so on. Another aspect is to facilitate student learning. Students can easily access the course information, such as the smooth playback of video, the smooth submission of operations, timely online questions and exchanges, to facilitate the upload of various student information.

Online course activity is a complex process, it requires full participation of teachers, students also need to participate in the whole. And how to manage the whole process, is an important issue. Teachers need to submit the operation, the operation of the inspection and assessment. Teachers need to monitor student progress, need to answer student questions in a timely manner. Therefore, a high-quality online topic, not only to submit some information on it, it needs teachers to devote more energy to maintenance and management, which requires teachers to actively participate in them. And because the teacher is very busy, there may not have enough time to manage the online course. This requires a balance, the classroom topics and online topics can be organically combined. Because online courses are not traditional classroom, their online resources are not simple learning materials. For example, the video material is not a simple classroom course video, but a well-designed knowledge unit of the video teaching results. For a video production, teachers need to consider a lot of things, such as teaching purposes, teaching methods, teaching contents. In the video, the teachers use information technology to complete the course of knowledge points, it is different from the ordinary PPT courseware. For example, in the middle of the video, you can pause and ask students to answer a question before they can continue to play the video so that students can actively participate in the learning point of knowledge. Video is just a teaching tool, the focus is to enable students to master the knowledge points to be learned. How to produce high-quality online courses video, which requires teachers to use advanced information technology to complete and teachers need to be trained. In addition, students need to manage their own learning, how to deal with the relationship between indoor classroom and online courses.

How to evaluate students' learning quality is a serious problem encountered in online courses <sup>[6]</sup>. As the evaluation of the uncontrollable, the problem led to the community of online learning achievement recognition is not high. Although some schools offer corresponding credits to the online course of study. But the assessment of online courses is more difficult to control. General online courses, teachers can use the online assessment system to assess the results. Such as multiple-choice questions, judgments and other forms, but its credibility is not high. Students may be able to answer

online questions by cheating. Moreover, how to ensure that the online test content is constantly updated, this need to continue to invest. Teachers need more time and energy to continue to improve.

The construction of online courses is getting more and more attention, but the utilization rate of practical online courses is not high. Although there is a corresponding online course resources, but students do not make good use of these resources. In addition, although many students choose online courses, but in the actual study, students can complete the task of learning is very small, the actual passing rate is not high. All kinds of reasons lead to the final learning effect of students will be different <sup>[7]</sup>. Now, a lot of online courses, only an auxiliary form, just for the data upload and download platform. These problems lead to the online course system being just a form, without actually playing an important role.

#### **4. Summary**

The online course system combines Internet technology, information technology and mobile technology. So that students can use a fragmented time for flexible learning. It has many advantages, including a clear theme, permanent use, strong interaction, self-learning and so on. In the widows programming course, the teacher sets up the teaching node to the curriculum key knowledge and the difficult knowledge. Teachers focus on a knowledge point and make a variety of teaching materials design, including teaching courseware, teaching video, course work, examinations and so on. The content of the online course is highly targeted, and the students' learning objectives are clear and the learning effect is outstanding. Due to the characteristics of online courses, students can use mobile phones or tablet to learn, without space constraints, to facilitate the spread of online courses, reducing social costs and improve learning efficiency.

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# College English Teaching in China: An English-as-Lingua-Franca Perspective

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**Keywords:** College English Teaching; English as a Lingua Franca(ELF); English as a Foreign Language(EFL); English Language Teaching(ELT).

**Abstract.** College English curriculum reform in China has taken place in teaching mode, teaching methods, teaching objectives, learning content, course evaluation and other aspects. English as a Lingua Franca(ELF) has gained increasing attention among Chinese teachers and researchers. The paper introduces the concept of ELF and the situation of college English education in China. And then it focuses on what ELF implies for college English teaching, which includes reconceptualization of English Language Teaching(ELT), renewal of teaching objective and adjustment of teaching methods. It should be noted that the role of ELF should not be overlooked or exaggerated in college English education.

## 1. Introduction

English has long been taught as a foreign language from primary schools to colleges in Chinese mainland (China is used to refer to Chinese mainland hereafter). Almost all college students in China have received English-mediated instruction while they make use of English out of class in various ways. They mainly use English in the following circumstances when they interact with their friends, do some reading, search the internet and associate online. It has also been noticed that the schools and departments where they pursue their academic studies are related to their English use respectively <sup>[1]</sup>.

Those who take English as a Lingua Franca (ELF) constitute the biggest segment of English speakers whereas it was not until 1990 that research on ELF was commenced. ELF researchers hold that people in international communication need to familiarize themselves with and have, in their “linguistic repertoire”, certain forms like phonology and lexicogrammar, which are widely used and intelligible among speakers with different native language backgrounds <sup>[2]</sup>.

Teachers and students in Chinese universities are essentially English speakers most of whom participate in cross-cultural communication in varying degrees deliberately or reluctantly. Due to the importance of English in the society and the job market in particular, many students hope to speak (or use) British English or American English. It is widely acknowledged that teachers and learners should learn many varieties of English rather than (one) English <sup>[2]</sup>. On the other hand, Putonghua (or Chinese Mandarin) is a lingua franca in college while students from all over the country have their own native language. Though English as a Foreign Language (EFL) has already gained recognition in education and even among the public, the English speakers in Chinese universities should be regarded as ELF speakers with traces of their native language.

College English curriculum reform is a heated topic and has aroused controversy among college English teachers, researchers and administrators. They have reached an agreement to make some changes to the present college English education but they disagree on what to change and how to change. And this paper offers some suggestions from an ELF perspective.

## 2. English as a lingua franca

Firth and House point out that ELF is a “contact language” between people who share neither native language nor national culture and hence choose English as a language for communication. For the people involved in ELF interactions, English is not their native language [3]. This definition stresses ELF use by people from the Expanding Circle. (Braj B. Kachru proposed “Three Concentric Circles” of English.) Nevertheless, ELF interactions also prevail among interlocutors from the Inner Circle and the Outer Circle, and may take place in various situations such as academic conferences or meetings of the United Nations [3].

ELF, to a greater extent, is independent of the norm of native English speakers and has acquired recognition. It is non-native speakers of English who, as an agent of language reform, provide a strong impetus for development of the English language in the global scale [3]. It is also widely accepted that pronunciation is of crucial importance in ELF research and it is easy to find relevant discussion.

Jennifer Jenkins analyzes data and concludes that pronunciation is “the most frequent” cause that leads to intelligibility problems. She proposes a term-- “Lingua Franca Core”. She holds that some pronunciation “errors” belong to “Lingua Franca Core” if they cause intelligibility problems while other “errors” cannot be considered “wrong” and are only pronunciation different from native speakers since they do not cause such problems. Lingua Franca Core includes five items such as maintenance of word-initial consonant clusters and “omission of sounds in word-medial/final clusters” in accordance with the pronunciation rule of native English, “maintenance of the contrast between long and short vowels” and “production and placement of nuclear stress” [3].

There is another opinion that ELF is an English variety, which originates from different English users under different circumstances in the global context. It describes a phenomenon that people make use of imperfect L2 repertoire to make effective communication more or less in international and inter-cultural contexts. The description of ELF focuses on the instructional function of the English language used for international communication while ignoring other aspects of language, such as register, style and aesthetics needs. It also overlooks the social function of language, such as self-expression and self-identity [4]. Admittedly, ELF does not embody many functions of language; however, it cannot be ignored especially in China, where the native English model has long been maintained and esteemed not only by the public but also by teachers and experts. Now ELF should be considered as a supplement of the native model in English education.

*English* in ELF is quite different from *English* in EFL. ELF is a world language, chiefly used among non-native speakers of English. It falls into World Englishes. Code-switching/code-mixing, which is considered to be inappropriate or indicative of problems in language proficiency, is deemed as a natural and proper phenomenon, used to highlight identity, promote unity and participate in creative behaviors [5].

## 3. College English education in China

For the past decade, the English language has been gaining an increasing importance in China’s education system. English is one of the essential courses that Chinese students are most concerned about for their academic development. English, for a long time, has acted as one of the deciding factors for students to be enrolled in senior high schools and colleges. In recent years, English Language Teaching (ELT) has been added to the syllabus of third year students in primary schools in Chinese cities. As a college English teacher for fifteen years in a provincial university, the writer of the paper will focus on ELT in Chinese universities.

In almost all the colleges and universities, English is indispensable for students’ life. Universities at different levels have various designs for the English curriculum. In the past, *College English* as a compulsory course was very popular in universities. With the English education reform forging ahead, college English courses have undergone changes. Instead of four semesters of College English study in most universities, some universities have shorten it to two or three semesters. In

the meanwhile, students' credits for College English have also been reduced in varying degrees. On the other hand, universities have developed different English courses within the College English System. College English used to center on General English (GE) while it at present, in addition to GE, may embrace a range of selective courses which can be mainly categorized into English for Liberal Education (ELE) and English for Specific Purposes (ESP). Courses like *English and American Literature*, *Introduction to Western Civilization*, *Cross-cultural Communication*, *English Public Speaking* fall into the former category while the latter tends to include *English for General Academic Purposes*, *Business English*, *Tourism English*, *English for Science and Technology*, *English for Medical Purposes* and so on. Universities are now encouraged to devise an English curriculum with their own characteristics in accordance with their real situations. Although it is widely debated whether universities should prefer the former or the latter, GE, ELE and ESP courses coexist with each other. Nowadays an increasing number of colleges, which used to focus on GE courses, tend to place value on ESP and ELE courses.

College students in China are often multilinguals and constantly switch between different worlds. When they shift from one world to another, they will use different languages or language variety [1]. Although teachers and students are encouraged or even required to use English as the sole language in English-mediated class, it is actually difficult to achieve it and more challenging for them to make use of them in daily life. Virtually a vast number of Chinese students often watch English movies with Chinese subtitles or bilingual subtitles. While searching information online, they always switch between Chinese and English <sup>[1]</sup>. It is of necessity to take the reality into consideration when ELT and English education reform is in progress.

#### **4. An implication for college English teaching in China**

It is sensible to ask for changes in the teaching of the language if it is found to be changing inform and usage<sup>[3]</sup>. Then what kind of changes should be brought to college English education? From the ELF perspective, certain degrees of deviation from the native model, whether in pronunciation or grammar, could be omitted in order to maintain intelligibility, accuracy and completeness of information <sup>[4]</sup>. In 2002 McKay identifies the top priorities of ELF teaching goals and approaches. Goals include 1) ensuring intelligibility rather than focusing on accuracy, 2) helping learners cultivate communicative strategies and 3) developing contextual competence both in reading and writing. Approaches cover 1) sensitivity of culture selection in teaching materials, 2) "reflexivity in pedagogical procedure" and 3) respect for local culture in learning <sup>[3]</sup>.

##### **4.1 Reconceptualization of ELT in college**

In recent years some administrators and even experts make unwarranted charges against English education in China. They argue that ELT in college is time-consuming and inefficient so many college students cannot make good use of English in cross-cultural communication and some of them even are not able to speak English when necessary although they have learned English for almost ten years. They also point out that ELT is so unappealing that college students would rather skip the classes or even spend a lot of money in English speaking courses outside of college. In reality, some colleges have reduced credits of English courses or arranged them as selective courses. In the university where the author of the paper teaches English, students of various majors need to have College English courses for the first year and then decide by themselves whether they will continue English courses. Instinctively some students devalue the status of English especially after they pass College English Test Band Four, which is an important factor affecting college students' employment. Nevertheless, some students still insist that English is not indispensable if they do not intend to study abroad or pursue graduate studies.

College students should be brought to the realization that English is regarded as one of the important criteria by many intranational and international gatekeepers in educational and professional domains <sup>[4]</sup>. Even though it may not be essential for newly graduated students to have a good command of English, it cannot be denied that English stands in the way of individual

development. Students need to keep learning English although it demands patience and perseverance and teachers also have to make great efforts whereas administrators should not set a very high standard for ELT since English teachers should not shoulder full responsibility for students' performance in English.

In addition, it is necessary for English learners to keep far away from the obsession with native varieties of English. Instead, they should accept the cross-cultural role of ELF<sup>[3]</sup>. Just as it has been mentioned that college students and teachers are Lingua franca speakers of English. Also, nonnative-speaker teachers or more precisely Chinese teachers mainly undertake the task of English instruction in Chinese universities. ELT in China has long been obsessed with the dichotomous approach of native teachers/ non-native teachers. If ELF is reconceptualized as an English variety and learners do not rely on the native variety, teachers and students will not consider them as non-native speakers or ENL (English as a native language) speakers who often make mistakes<sup>[3]</sup>. It is unnecessary to regard themselves inferior to native speakers in cross-cultural communication.

ELT in universities is part of the English educational system in China. Based on what students have commanded, college students should continue their English studies. Whether they pursue GE, ELE or ESP studies in accordance with their demands, it is inappropriate to take the native model as the teaching model and objective.

## **4.2 Renewal of teaching objective**

ELT is thought to be of great importance for college students who hope to improve themselves and live a better life in the future. ELF stresses the function of international communication. Since all the ELF speakers have traces of their L1 accent (conspicuously or inconspicuously pronounced)<sup>[3]</sup>, Chinese teachers and students as ELF speakers have their English pronunciation affected by their L1. If they are not categorized into “Lingua Franca Core”, these “errors” need not cause our attention. Both teachers and learners should not divert their attention from communication to accent imitation.

Though it is claimed that some lexico-grammatical features of ELF should not be considered errors (or mistakes) and will not interfere with successful cross-cultural communication. They include certain features such as not using the third person singular form “-s” in the present tense and confusing relative pronouns “which” and “who”<sup>[2, 3]</sup>. They do not hinder ELF speakers' verbal communication but they should not be popularized in written communication.

College students should abandon the impractical thought that perfect communication could be achieved through near-native English proficiency and instead they will spend more time cultivating other abilities such as identifying and establishing common knowledge, measuring and adapting to language variety of speakers, expressing incomprehension and asking for repetition or restatement in an appropriate way<sup>[3]</sup>. Only in this way can students achieve cross-cultural communication with success.

On the other hand, it has been concluded that pronunciation of non-native speakers tends to deviate from the learning model due to native language transfer<sup>[6]</sup> and Chinese learners' pronunciation with traces of L1 is inevitable; however, teachers should satisfy the needs of some students who try to approximate native speakers<sup>[6]</sup> and these students should be allowed to pursue native-like pronunciation although they are perceived to waste more time. To be exact, phonological and grammatical errors, to certain degree, can be tolerated in communication of real life; however, the pronunciation norm of native speakers, compared with simplified and incomplete English descriptions, is more appropriate and attractive in ELT of Chinese universities<sup>[4]</sup>.

To be brief, cross-cultural communication is an important goal for college students' English learning. Raising cross-cultural awareness is in urgent need for learners with different native language who try to interact in English. For example, learners should become aware of and sensitive to the fact that people with different cultural backgrounds tend to express politeness, gratitude and condolence in different ways<sup>[4]</sup>. Highlighting the goal of international communication of ELT does not imply that other objectives such as displaying learners' individualism, pursuing

their self-identity, assisting their academic studies and broadening their horizons will be compromised since students have different personalities, family backgrounds, learning styles, life plans and other traits. It does not make sense for ELT to be confined to one or two objectives.

### 4.3 Adjustment of teaching methods

Since sensitivity of culture selection in teaching materials, “reflexivity” in teaching and respect for local culture <sup>[3]</sup> have earlier been listed as teaching approaches of ELF, more details should be offered here.

As the role of cross-cultural communication has been underlined, the ELT methods should also undergo some changes accordingly. When helping learners with different native languages to prepare for communication in English, it seems that it is urgent for them to enhance consciousness of cross-cultural understanding. For example, learners should realize that people with different cultural backgrounds tend to convey courtesy, gratitude and condolence in different ways <sup>[4]</sup>. To reach this goal, recordings in and outside the classroom should be authentic. The fundamental need is to present to college students various situations in which they take part. It should be noticed that the status of non-native speakers has almost never been portrayed positively and thus it is recommended by psychologists that famous bilinguals, such as Mohandas Gandhi, Pablo Picasso, and Marie Curie could be introduced into ELT as successful non-native speakers <sup>[7]</sup>.

Whether speakers share cultural backgrounds and knowledge is an essential factor in ELF communication <sup>[3]</sup>, more knowledge about diverse cultures throughout the world should be included in the curriculum of college English courses. Exposure to various English varieties and a multilingual and comparative way will facilitate acquisition of cross-cultural communicative abilities <sup>[3]</sup>. Actually some experts and officials have realized the importance of local culture and College English Test (Band 4 and 6) as a popular national English test for college students has been designed to contain an item named Chinese-English Translation with the theme of Chinese politics, economy and culture. Thanks to the backwash effect of the test, both teachers and students now take it seriously to depict Chinese culture in English.

On the other hand, it is suggested to use teaching methods that acknowledge students’ L1 (intralingual strategy). Most orthodox EFL teaching methods advocate less use of L1. Apart from grammar-translation method, almost all the teaching methods insist that teaching techniques should not depend on L1 <sup>[7]</sup>. But actually it is incomprehensible and impossible for Chinese students to deny the existence of Chinese in class activities.

In college English classes, all the students share L1-Chinese and most teachers are also Chinese. Chinese teachers and students always have their L1 in their minds and every activity that students carry on in English still reflects their thinking patterns and has marks of their L1.

ELF indicates that some changes of the English usage have already occurred. If the use of a language is changing, it is sensible to demand a change of the language teaching. Whereas the language description should not decide the teaching content, the language teaching should refer to rather than defer to the language description <sup>[3]</sup>.

## 5. Summary

ELF distinguishes between difference and deficiency. ELF does not deem it incorrect to use items different from ENL. Instead, it may be a variety of ELF. However, ELF speakers are not all proficient and they are likely to be ELF learners who make mistakes like other second language acquisition learners <sup>[8]</sup>. Thus ELF should be taken into account in ELT while the role of ELF should not be overlooked or exaggerated in college English education.

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# Using Gamification towards More Efficient Training of Architects

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**Keywords:** Gamification; Architects training; Education; Project management.

**Abstract.** It has been proven that the conventional training of architects that is focused on instilling variable volumetric-spatial thinking does not meet the modern demands. The today's architects often need procedural thinking and teamwork skills. In particular they have to understand project management. Gamification of training is an important tool for them to learn advanced modern competencies. The article presents a scenario for a business game about project requirement management. It also provides a result analysis. Notably, 100% of the game participants noted they acquired a comprehension of how to manage an architectural project.

## 1. Introduction

According to Andrzej Marczewski <sup>[1]</sup>, the concept of gamification was introduced in 2002 by Nick Pelling [Nick Pelling], an Americal programmer and inventor. By 2010 the term had already been in wide use and become popular; now, one can encounter the concept in many areas of human activities, such as business, HR management, health and education; the term is used to denote the common ways to use gaming practices. Today, gamification is understood as use of gaming techniques and approaches in non-gaming situations.

Of course, other gaming practices, such as role-playing or business games, were widely used before the concept emerged. O.V. Orlov and N.V. Titon <sup>[2]</sup> present a table that shows the difference between the different types of gaming practices. The table below summarizes the difference. Comparison was based on the following parameters that are analyzed below: spontaneity, existence of rules and objectives, internal structure, reality/game space, and systematicity.

Tab.1 Gamification vs other gaming practices

Comparison parameter	Traditional games	Role-playing games	Business games	Simulation games	Gamification
Spontaneity	No	Yes	No	No	No
Any rules?	Yes	No	Yes	Yes	Yes
Any objectives?	Yes	No	Yes	Yes	Yes
Structure	Yes	No	Yes	Yes	Yes
Real world	No	No	yes/no	yes/no	Yes
Systematicity	No	No	No	yes/no	Yes

The table shows that the logical concept of gamification has a fair degree of commonality, and we will use it further.

## 2. Description of the problem

Let us go forward to the essence of the problem. What kind of gamification does a future architect need? The overall trend is noted in the paper by O. Igna <sup>[3]</sup>, where is alleged 'a transition to a new educational paradigm (the paradigm of post-industrial society) and a new type of education (it's

engineering or process engineering).’ This idea is what best describes the specifics of architecture as a type of process engineering. Training of architects is based on the conventional approaches that were founded in early 20th century such schools as Bauhaus, Germany (1919-1933) and Vkhutemas, the USSR (1920-1933). The structure of architectural thinking, its components and inter-component links were systematically detailed by A.E. Korotkovsky, an architect and educator<sup>[4]</sup>. His methodology was based on a systemic-structural approach, where emphasis was made on the method of modeling the system components and inter-component links. As a result, a graduate of such an architecture program was able to think spatially and figuratively as well as had a variable approach to the constructing architectural images.

The drawback there is that an architect’s thinking is static rather than dynamic. An architect that is trained in this conventional paradigm interprets the term ‘project’ as a noun, a what-word, a thing. The definition of an architectural project as a set of documents is statutory, see Law of the Russian Federation<sup>[5]</sup>: ‘an architectural project is the architectural part of construction and planning documentation that contains architectural solutions...’ This definition captures the end results of architectural design.

However, this profession now requires a dynamic procedural approach. “Training architects is becoming more complicated; they need to know more to be able to exist and contribute well in the modern world,” says Nail Spiller<sup>[6]</sup>, one of the world’s top specialists in architect training. First of all, a modern architect should have teamwork skills, second of all, document skills, which requires some business process analysis skills. What is more, there is a perception that specialists in project drafting, i.e. project architects, represent yet another independent profession. The wise GEEK project team gives this definition<sup>[7]</sup>, “A project architect is a specific job title for the person who coordinates the parts of an architectural project. Some of the elements that he or she may be responsible for include the project design, development of the “plans” or construction documents, and consultation with outside experts. He also may assume additional managerial responsibilities to oversee large projects, although in large firms or projects, a project manager may be assigned to oversee non-technical details of carrying out an architectural project.” They go on to describe the competencies and skills of the project architect, “Being a project architect requires a variety of skills, including the ability to work in a team and assume a leadership role. People in this position must have good communication skills and knowledge of the different aspects of the design process. They also must know how to use specific architectural software programs. This is not an entry level job in architecture and requires several prior years of experience in the field. At minimum, a bachelor’s degree in architecture is required.” In Russian practice, there is an established functional separation of the Chief Project Architect (CPA) that also acts as a leading expert, and Chief Project Engineer (CPE), who also serves as the project manager. However, this separation of functions is only an option for larger project management offices. Besides, there are no specialised CPE training programs as of now.

Therefore, there is a contradiction between the conventional training systems that nurtures ‘static’ thinking and the newer requirements to architect training that require new competencies on the basis of the dynamic-procedural approach and teamwork skills.

### **3. Gamification as a solution**

This contradiction can be eliminated by means of gamification, as all the gamification methods listed in Table 1 require collective participation. Gamification is a process aimed at teaching students some new techniques in the most convenient way while keeping the specifics and character of creative methods. Gamification allows to solve multiple problems in a single game, i.e. to learn teamwork methods, the specifics of interaction with customers, as well as the particular aspects of registering a larger number of documents applicably to specific tasks. As a result, one comprehends the steps for formulating the objectives for a design solution, evaluates the project promotion opportunities, i.e. he or she learns the project management process.

Let us analyze the case of the Project Management course taught to Masters of Architecture. The collective nature of a project manager's work is emphasized in professional standards, e.g. IPMA Competence Baseline <sup>[8]</sup> outlines the concept of behavioral competence, which is defined as collective skills required for project management. As mentioned above, public discussion of architectural projects is a crucial component of an architect's work. Public discussions are essentially about identifying various requirements to the project defended. Requirement identification is one of the processes that the IPMA project management standard mentions. The most systematic description of requirement management is given by Karl Wieggers <sup>[9]</sup>, which, however, applies to IT. V.P. Etenko's paper mentions requirement management in the light of architectural design <sup>[10]</sup>. A.N. Gushchin attempts to generalize the approach for design and architectural projects <sup>[11]</sup>.

Requirement management is at the core of the business game of the same name. It consists of three stages:

**1) Team-building:** students split arbitrarily into 5- to 7-person teams and take roles. The most important roles are: the student to present an architectural idea (a project) and the moderator who leads the discussion; the rest of the group can take any roles they like, e.g. public representatives, developers, or other persons involved in construction.

**2) Identification of requirements.** The requirements identification stage begins immediately after teams are made. The Architect presents their project to the team. The participants are welcome to ask questions. The Moderator is tasked to follow the discussion and register requirements. They have to be added to the Requirement Registry. Table 2 is what this document should look like. To proceed to the next stage, the Moderator has to fill at least 15 rows in the table.

Tab.2 Requirement Registry

No.	Statement of the requirement	Type	Context (a typical situation)	Could change in the future	Source (substantiation)
1					
2					

**3) Requirement agreement and analysis.** The agreement stage begins as soon as the previous stage ends. Now the group has to analyze critically the requirements identified. Each such requirement shall be analyzed to answer these questions: is it adequate? Can it be met? Is it necessary? Is it unambiguous? Is it verifiable? Could it change in the future? Each requirement is discussed separately. As soon as the group comes to a consensus on all of the above criteria, the requirement shall be deemed agreed on; it is then added to the Requirement Agreement Protocol and signed by all the members of the group. The Game Moderator then tasks the student to categorize each of these requirements as changeable or non-changeable in the future.

**4) Requirement tracking matrix.** For those requirements that are subject to no future changes, each group shall draw up a Requirement Tracking Matrix like Table 3.

Tab.3 Requirement Tracking Matrix

Requirement No.	Requirement type	Section in design documentation	Item of such section in design documentation

The *Section in design documentation* and the *Item of such section in design documentation* cells shall meet the requirements of the national design documentation standard, i.e. the Directive of Russian Government <sup>[12]</sup>.

**5) Drafting the requirement management plan.** The group shall draft a Requirement Management Plan for those requirements that could change in the future (Table 2). The Requirement Management Plan shall specify a procedure for monitoring changes in the requirements, a person who will conduct such monitoring, a person who will initiate meetings to

discuss requirements, and a procedure for making decisions on whether to accept such changes in requirements. The person to conduct monitoring is also tasked to assess the impact of potential changes in requirements on the total labor-intensiveness of the project. After the Requirement Management Plan is drafted, the business game is over.

**6) Post-project analysis.** After the game is over, the Moderator invites every student regardless of their group affiliation to write a small essay (an interview) to describe the impression the game made on them and the skills it helped acquire.

#### 4. Results and discussion

The business game we organized had 30 participants. As mentioned above, every student was invited to write a free-form essay of their impressions and new skills the game helped acquire. Because those were free-form reviews, our analysis required us to formalize such interviews. For that purpose, we marked the expressions that referred to:

- a) Learning the management process,
- b) Learning new information in the game,
- c) Acquisition of teamwork skills,
- d) Learning new document types,
- e) The practical importance of all those skills.

Formally, b) learning new information in the game and d) learning new document types are not independent, because if one learns new document types, such fact of learning does by itself mean there has been some new information to learn. We separated those markers because our students specified those two learning facts separately.

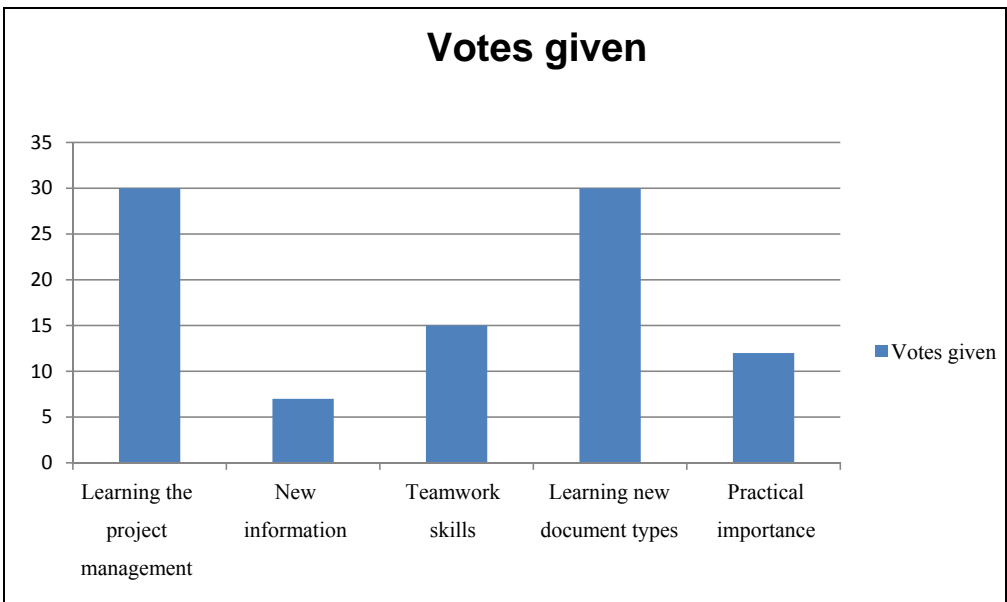


Fig.1 Number of markers noted in students' questionnaires. Source: the authors.

First of all, we'd like to note 100% of the game participants noted they had learned the management process as well as new document types: the Requirement Registry, the Requirement Agreement Protocol, as well as the Design Documentation Standard. Half of the participants noted they had acquired teamwork skills in this game. We believe this circumstance just shows that by the time of studying as Masters, many students already have teamwork skills as some of them already work in design institutions. It's interesting that only a few students noted the practical importance of

skills. A more detailed analysis shows those are mostly students that work for smaller design institutions where the document agreement procedure is simplified (which two students explicitly mentioned in their interviews) or students that had worked on standardized projects with all the requirements already agreed on.

## 5. Conclusion

In general, the authors believe they should note the following. The business game the scenario of which is described above is complete and comprehensive; as such, it allows students to learn all the stages of the requirement management process while taking various roles in it. Another important point is that 100% of the participants noted the game had introduced them to the project management process. That means the objective specified early in this paper was met. We could also expect the game to have an indirect impact on the quality of students' architectural projects because it expanded their horizons.

## Acknowledgements

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# **Cultivating Students' Social Responsibility Based on Volunteer Service - Taking the Volunteer Service Team of Business College of Beijing Union University as an Example**

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**Keywords:** Volunteer service; College students; Social responsibility.

**Abstract.** With the globalization and value diversification of today's society, as the local business college with the mission of serving regional development, it is an important problem that how to effectively carry out social responsibility education and cultivate qualified talents for the sustainable development of society and economy. This paper takes the team practice of "Igniting Blue China Dream" in Business College of Beijing Union University(BCBUU) as an example to analyze the significance of volunteer activities to students' social responsibility education and the problems existing in the implementation of volunteer activities and explore the way to cultivate social responsibility of college students based on volunteer activities.

## **1. The basic connotation of volunteer service and social responsibility**

### **1.1 The basic connotation of volunteer service**

Volunteer service refers to the services that volunteers voluntarily contribute their individual's time, energy, knowledge, skills and wealth and other forms, without any material reward, in order to improve the society and promote social progress. Voluntary service has four characteristics of voluntariness, gratuitousness, public welfare and organization<sup>[1]</sup>.

### **1.2 The basic connotation of social responsibility**

Social responsibility refers to a person's obligations and missions to others, to the collective, to society and to the state. Social responsibility awareness refers to a person's sense of responsibility and emotional experience; it shows people's awareness, attitudes and behavior of social responsibility.

## **2. The importance of volunteer service to cultivate college students' social responsibility consciousness**

From the basic connotation of volunteer service and social responsibility, there is a close internal relationship between them. Xie Wei et al pointed out in their study that volunteer service not only can promote the orderly inheritance and sense of social responsibility, but also turn the spontaneous behavior to self-awareness behavior, thereby enhancing students' understanding and recognition of social responsibility. Besides, volunteer service has become the key links of socialization process of the youth student, but also an important process to develop the sense of social responsibility. Therefore, volunteer service and social responsibility consciousness are interdependent, mutual promotion and mutual causal condition to a certain extent<sup>[2]</sup>.

Many practices have proved that voluntary service activities adapt to the characteristics of strong sense of independence and participation of young college students, have a strong development



potential and strong vitality, and are rapidly developing with a booming trend, playing an important role in cultivating the healthy sense of social responsibility of college students<sup>[3]</sup>.

### **3. Encounter bottlenecks in the process of volunteer service**

At present, volunteer service has become an effective way for colleges and universities to agree with the social responsibility education of college students. However, with the development of scale, form and content of volunteer service, combined with the limitations of volunteer service awareness, and the failure formation of organizational management and effective guidance and evaluation mechanism lead that students' motivation to participate was questioned, short-term sexual behavior highlights, the surface is lively, but cultivation effect is not reached, the satisfaction of service object is not high. So, how to cultivate college students' sense of social responsibility through volunteer service has become another topic in local colleges and universities<sup>[2]</sup>.

#### **3.1 Limitations of understanding of volunteer service**

Today's college students are mostly single children, coupled with the experience and age constraints, they lack of independent life experience, and have not enough knowledge in the treatment of problems of the relationship between individuals and others. Therefore, in the process of the pursuit of personal goals, college students are often self-centered, easy to ignore or disregard the existence of others, being lack of concern for others. This not only affects the students' normal learning and life, but also is not conducive to their commitment to society.

The cultivation of college students' social responsibility is a systematic project, and volunteer activity is the carrier which needs systematic theory as a guide. But the lacking of in-class education and the negative impact of social phenomena also contribute to the limitations of students' awareness of volunteer activities.

In addition, the object of volunteer service is mostly vulnerable groups. Because of the limitation of volunteer activities, the students are in high spirits in service activities, which causes the potential harm to the service object. This is also one of the main reasons for the dissatisfaction of the volunteers.

#### **3.2 Lack of effective management and evaluation mechanisms**

At present, in order to encourage students to actively participate in voluntary service activities, some colleges and universities have established volunteer service credits, but the process guidance, the effect evaluation mechanism of the relevant volunteer activities has not formed yet, leading that students lack of enthusiasm of active understanding and active participation in volunteer service, public welfare. Volunteer service becomes the way to get certain honor through curriculum and credit for part of the students, some students are more passive in the activities, or even the phenomenon of fraud appears in the volunteer service activities. This is not only contrary to the original intention of colleges and universities to set up courses and credits, but also not conducive to cultivating college students' sense of social responsibility.

#### **3.3 The whole society volunteer service atmosphere is not established**

There is a big gap between China's current laws and regulations on volunteer services, social atmosphere and the developed countries, resulting in the influence on the volunteer activities of college students is not enough; the long-term mechanism has not been established. Only the whole society has formed an atmosphere of active participation in volunteer service, the enthusiasm of the whole society will be mobilized; college students will be able to give full play to the role of the main force.

### **4. The practice exploration of BCBUU**

Thanks to the cultivation of social responsibility consciousness is a process of continuous

strengthening and constant sublimation, it needs to realize the progressive from the perceptual to the rational at the target level. In the volunteer service activities, the teachers of BCBUU in the student work department are consciously instruct and help individual students and organizations to set goals through mutual consultation, in order to enhance the students' enthusiasm to participate in volunteer service and to form the results by combining the service contents with the students' majors, the students' learned knowledge is put into practice, truly practice what they learnt, and fulfill the social responsibility.

April 2, 2009 is the world's autism day. At that time, the media carried out extensive publicity on autism. According to the data in *Report on Development Status of China's Autistic Education and Rehabilitation Industry*, more than 10 million people with autism are in China, due to the lack of rehabilitation institutions, autistic patients' living, medical care, employment all rely on parents, more and more family members of patients are saddled with a heavy economic burden, psychological burden, mental burden. The increasing number of autistic patients has brought more prominent social problems. Increasingly prominent social issues day by day have also aroused widespread concern of students of BCBUU. Through this hot spot, college teachers guide students to carry out extensive research. Research enables students to have desire to do something for autistic patients and their family, so the volunteer service team of "Igniting Blue China Dream" with care for autistic patients as the core purpose is set up spontaneously.

Over the past six years, under the guidance of the instructor, the team has been expanding to carry out a series of activities of caring adults with autism. These activities range from simple student-to-student co-ordination of autistic people (accompany autistic people to visit a garden or park, or to attend concerts) to an in-depth understanding of the disease (walk into the community and communicate with the staff of neighborhood committees to know the situations of support, funding, donations of the government and social organizations for disabilities and other disadvantaged groups such as autistic, visit a number of autism agencies, listen to the aspirations of autistic parents) to really find the real needs of this group (students continue to ask questions, conduct research, apply for projects, and write reports. For example: in 2011, applying for undergraduate scientific research projects in Beijing municipal project - "research on the current situation of adult autistic group in Beijing", writing *Survey Report on the Current Living Situation of Adult Autistic Group in Beijing* and published it. This article detailedly introduces the research process of "Research on the Current Situation of Adult Autistic Group in Beijing". Through the survey of the living situation of adult autism in Beijing, the author has learned about the social life of this group, social adaption and social assistance, etc., put forward views and suggestions with the reference significance; in 2012, applying for undergraduate scientific research projects Beijing Union University-level project - "Research on social assistance situation of autistic group in Beijing" and writing the article *On Social Assistance Work of Autistic Group in Beijing*. The article introduced the investigation experience of autistic family and folk autism service organizations, the study found that with the increase of autism group, Beijing's current policies and related relief work is far from solving the current difficulties of family of autistic patients. Through the analysis of the current situation and problems of the public awareness, policies and regulations, and relevant institutions, the paper puts forward some suggestions for improvement. In 2013, around the problem of adult autism conservation, the team created a "Star Home" business plan project. The project won the Beijing Union University Bronze Award, Beijing Third Prize, the Beijing Silver Award. The project took "restoring the capacity of adult autism, opening the heart window of adult autism, creating hope to the world for adults autism" as the mission. Their carefully design and feasible program were highly recognized, and was recommended by the Communist Youth League, Beijing Municipal Committee, won the bronze medal when participating in the 2016 "Creating Youth" National Undergraduate Entrepreneurship Competition.

With continuously in-depth activities in these six years, groups of students transform their own unconscious behavior into conscious action.

## **5. Inspiration**

Six years of volunteer service activities show that volunteer service activities cultivate students' sense of social responsibility in the subtle influence; at the same time, the students integrate learned theory and practice, teamwork, ability to solve practical problems, problem-solving ability is trained effectively, the ability of serving society is exercised. Therefore, if colleges and universities want to rely on volunteer service activities to enhance student social responsibility education, they should pay attention to the following questions:

### **5.1 Strengthen the ideological mobilization; enhance the understanding of college students' volunteer service**

When college students enter the college at first, the college should carry out their ideological mobilization, increase awareness of their volunteer service activities. The form, content and meaning of volunteer service activities are broadcasted so that students can fully understand the important role of volunteer service activities in university life and in today's society, and to make them fully aware of the importance of active participation in volunteer service activities, and it is also a important way to help others, to contribute to society and to achieve self - worth. The college should guide their values rightly from the beginning.

### **5.2 Establish effective management and incentive mechanism for volunteer service, improve participation and enthusiasm**

The colleges and universities in many countries train and assess students through the way of volunteer service. For example, the United States explicitly lists "Volunteer Service Hours" as one of the assessment criteria for university admission. Students must accumulate certain volunteer service hours before entering the university. In order to guide and motivate college students to take part in volunteer service, Canadian universities have also developed a rich and well-organized volunteer reward mechanism.

Therefore, colleges and universities in China should improve university volunteer service system based on the actual situation, making it a complete organic whole module. According to the scientific theory, improve the recruitment, motivation and evaluation mechanism of volunteer service, and effectively strengthen the awareness of volunteer service. In teaching, teachers should guide students to self-activity, so that students can study and explore the social hot issues to the fully understand the relationship between personal interests and social interests, recognizing that students only assume the social responsibility, can truly realize their life value. In addition, colleges and universities should strengthen the organization and management of volunteer service, establish all levels of guidance and coordination center of volunteer service activities, open volunteer service information, broaden the participation channels of volunteer service, and give full play to volunteer service to enhance the role of social responsibility.

### **5.3 Through the government guidance and media driving to form a good atmosphere of volunteer service**

China should fully integrate its actual situation, according to the social core value system, encourage the community and enterprises to concern about volunteer and volunteer activities, create a good atmosphere of volunteer service and build more volunteer service platform. The relevant laws and regulations concerning volunteer work, fiscal policy, and donation and cooperation policies should also be formulated and improved. Give full play to the publicity and impact of the media and public opinion, broadcast and report the positive energy, shape a good social image of volunteers and form a good atmosphere of volunteer glory in the whole society. Encourage students to actively participate in volunteer service to experience and perceive the society, to achieve self-growth while fulfilling social responsibility.

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# Research on the Construction of the Service Marketing Indicators of Nursery Centers: A Taiwan Perspective

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**Keywords:** Nursery center; Family of young children; Service marketing; Indicator.

**Abstract.** Based on the application of service marketing theory, this research is mainly to develop the feasibility indicator for practical application of nursery centers. This research adopted interview methods for qualitative research as well as Delphi expert questionnaire. In the first stage of the research, interviews were conducted mainly based on the theory of service marketing, and the preliminary structure of indicators was formulated based on the coding method of the grounded theory. In the second stage, investigation was proceeded through Delphi experts where selection of Delphi experts covered three categories, namely scholars, practitioners and government officials. During this stage, questionnaire was compiled by ways of fuzzy Delphi method and Analytic Hierarchy Process (AHP), with the main purpose to confirm the dimensions of indicators, and the weight proportion of implementation items and indicators. Accordingly, this research constructed the framework and weight of the service marketing indicators for a nursery center, including three aspects, namely internal marketing, external marketing and interactive marketing, as well as the dimensions of indicators and implementation items of indicators.

## 1. Introduction

### 1.1 Background and motivation

Nursery centers in Taiwan are mainly run by private sector and no public nursery institutions were seen. Recently, in response to the government's social welfare policy, the New Taipei municipal government had started the first public private nursery institution in 2011. From then on, similar type of institutions have also been sponsored by local governments who have provided the support of venues and equipment and entrusted non-profit organizations to handle such institutions<sup>[1]</sup>. Regardless of private or public private institutions, they all focused on the direct service of nursers. According to the classification of General Agreement on Trade in Services (GATS), these institutions fall into social services of the service industry, covering both the education service and health care<sup>[2]</sup>. In line with this international agreement GATS, it means that nursery centers also fall into the service industry. Yet still, how can institutions improve the quality of service? Local governments usually manage the quality of nursery centers through evaluation system. And most of these evaluation indicators are to check performance from the service point of view. However, what those institutions practically need on-site is a guiding strategy<sup>[1]</sup> to help improve the service content. Some foreign scholars have pointed out that service marketing is one of the feasible strategies for service organizations to improve their services<sup>[3]</sup>. Therefore, the motive of this research is to construct a set of indicator structure which can balance both the guidance and the checking with the theory of service marketing, which can provide reference for related theories and practices.

## **1.2 The purpose of the research**

The purpose of this research is threefold: 1. to analyze the structure of the service marketing indicators of a nursery center according to literatures and interview data out of cases; 2. to construct implementation items from levels and dimensions of service marketing indicators based on Delphi expert questionnaire; and 3. to establish the weight proportion of service marketing indicators with the application of the AHP.

## **2. Theoretical framework**

### **2.1 Service marketing theory**

In 1963, Regan, W. J. proposed that the service features four characteristics: intangibility, indivisibility, heterogeneity and perishability<sup>[4]</sup>. Therefore, the marketing approach for the service industry is different from that for tangible products. Since Thomas, D.R.E proposed the framework of the Service Marketing Triangle<sup>[5]</sup> in 1978, many scholars have been working on follow-up research according to the three dimensions of such a framework<sup>[2][3]</sup>. This research was also based on the theoretical framework of The Service Marketing Triangle where the three apexes consisted of nursery center, nursers and families of children. Accordingly, the service marketing of a nursery center was divided into three levels: internal marketing, external marketing and interactive marketing. Internal marketing in this research refers to nursers who after completing the professional training may feel sense of identity with the nursery center where they are employed while achieving goals and visions of their organizations through team work. External marketing refers to formulation of service elements for a nursery center, including content, price, location, promotion, environmental equipment, staff coping attitude, among other elements, to meet the needs of families of young children. And interactive marketing refers to the direct interaction between nursers and families of young children, including services to educate and care for children and that to share parenting education and communication with parents.

### **2.2 Relevant research about service marketing**

Most of the research related to service marketing is about general business services, whereas less for social service institutions<sup>[3]</sup>. Similarly in Taiwan, the majority of these studies are based on school education institutions; there is no service marketing research related to nursery center. Among the study of educational institutions, it was found that public primary and secondary schools paid more attention to internal marketing<sup>[2][6]</sup>, whereas private preschools and cram schools focused more on external marketing and interactive marketing<sup>[2][7][8]</sup>.

## **3. Research design**

Based on the application of service marketing theory, this research is mainly to develop the feasibility indicator for practical application of nursery centers. The first stage started from a qualitative research approach, and sought to investigate operating frameworks for service marketing practice and their implementation items. This stage also included the compilation of content from the interviews and grounded theory to provide a basis for the Delphi experts' questionnaire. During the second stage, this study employed the Delphi expert question survey method, and chiefly sought to select service marketing indicators on the basis of experts' judgments and analyze the indicators' weighting ratios. Based on these results, including the findings of the two questionnaire surveys, this study first employed the fuzzy Delphi method to select indicator aspects and implementation items, and then employed AHP to analyze the relative weighting of indicator aspects and implementation items.

### 3.1 Interview method and grounded theory

In this research, the interviewed institutions were selected by means of sampling where mainly quality nursery centers were selected as an example. The interviewed respondents included one private and one public private institutions in the northern, central and southern parts of Taiwan, respectively, making totally six institutions. The main interviewees were supervisors and nurses of nursery centers as well as parents. The study employed a semi-unstructured interview format to collect data, and used grounded theory procedures to analyze the data. Grounded theory was developed by the two social scientists Glaser and Strauss. Grounded theory consists of a set of analytical practices developed from the data coding process, and can help researchers to establish theories. In grounded theory, coding refers to the scattering of the collected data, followed by conceptualization, which results in the data being reassembled using a new approach. Researchers' analytical procedures consist of such steps as "open coding," "axial coding," and "selective coding" [9]. We employ open coding to understand the specific methods employed in service marketing practice, and then use axial coding and selective coding to compile service marketing implementation items and indicator aspects.

### 3.2 Delphi expert questionnaire

This research invited 18 experts to participate in the Delphi questionnaire survey; these experts include three categories, namely scholars, practitioners and government officials, with six people in each category. This study compiled a fuzzy Delphi questionnaire for nursery center service marketing indicators. The questionnaire employed a five-point Likert scale allowing the Delphi experts to select the importance of each item. The researchers then used geometric mean to derive the range of the triangular fuzzy number for each indicator. Defuzzification was finally employed to transform the data into definite values, which were used to select suitable threshold values for each indicator. As a consequence, the higher the score, the more suitable that indicator as a service marketing indicator. When analyzing the results of the questionnaire survey, the researchers used Excel to calculate the fuzzy max and fuzzy min membership functions for the triangular fuzzy numbers, and these functions were used to select indicators on the basis of their suitability. The research further compiled an "AHP relative weighting survey questionnaire." This questionnaire relied on pairwise comparisons to assess the relative importance of pairs of indicators. The AHP questionnaire's assessment scale included the five items of "equal importance," "slightly important," "important," "very important," and "extremely important." This scale employed Saaty's nine-point scale [10]. Expert Choice was used to analyze the data resulting from this questionnaire survey, enabling the establishment of an overall indicator weight distribution and determination of weight distribution and ranking of individual aspects and indicators.

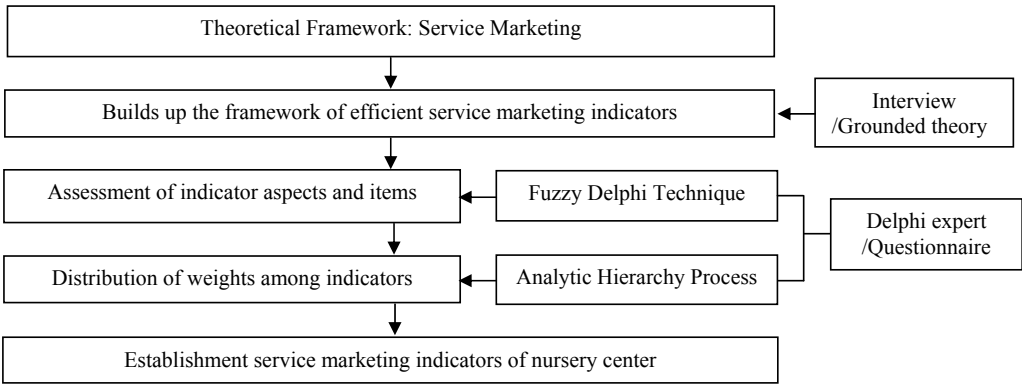


Fig.1 Study Processes and Framework

## 4. Results and discussion

### 4.1 Builds up the framework of efficient service marketing indicators

This research employed open coding to understand the service marketing methods of nursery center, and then use axial coding and selective coding to analyze the secondary categories and main categories.

This study obtained 86 open coding items through analysis of the field notes, and the open coding data was then organized to obtain 21 axial coding items, which constituted service marketing-related implementation items. The 21 axial coding items were used to integrate relationships within the axial coding system, which yielded six select coding items representing service marketing aspects. The six select coding items consisted of “professional ethics, nursing knowledge, reputational image, promotional modes, educational care, and parental communication”.

### 4.2 Assessment of indicator aspects and items

The service marketing indicator framework obtained in this study via data analysis on the basis of grounded theory consisted of six aspects and 21 implementation items. The researchers then employed the fuzzy Delphi method to screen the indicator implementation items. This study used the "left and right score method" proposed by Chen and Hwang to perform defuzzification[11]. For instance, when the initial value of the  $i^{\text{th}}$  expert's assessment of indicator A was LA, and the final value was UA, MA was the maximum assessment value for this indicator, and MA represented the experts' consensus assessment for the indicator. After deriving the fuzzy triangular functions, we then chose an suitable indicator selection threshold value S, where  $MA \geq S$  indicates that indicator A is acceptable, and  $MA < S$  indicates that indicator A must be discarded. The selection of a threshold value S enabled the most suitable of the many initial indicators to be chosen [12]. After converting the compiled views of 18 experts to triangular fuzzy numbers and performing defuzzification, this study took a permissible linguistic scope of 0.6, which indicated "suitable", as the threshold value for screening indicators on the basis of their suitability. Those indicators with an overall assessment value greater than or equal to 0.6 were retained, while those with a value less than 0.6 were discarded. After calculations using the foregoing formulas, 14 of the original 21 indicator implementation items had values of less than 0.6, and were discarded. As a result, a total of 14 indicators were retained.

### 4.3 Distribution of weights among indicators

After recovering the AHP weighting questionnaire, this study performed calculation and analysis employing the following steps. The first step consisted of establishing a pairwise comparison matrix: Assuming that there are n items to be compared,  $n(n-1)/2$  pairwise comparisons must be performed. The results concerning perceived importance of each item obtained via the questionnaire were used to establish a pairwise comparison matrix. According to Saaty<sup>[10]</sup>, under reasonable assumptions, if the geometric mean is used as an integrating function, when a certain expert's assessment value is a, and another expert's assessment value is  $1/a$ , the average value will be 1, and not  $[a + (1/a)]/2$ . As a consequence, the values used in pairwise comparisons should be  $1/9, 1/8, \dots, 1/2, 1, 2, \dots, 8, 9$ , and the calculation formula is  $a_{ji}=1/a_{ij}$ . After a pairwise comparison matrix has been established, the eigenvalue method commonly used in numerical analysis can be employed to find a solution in the form of an eigenvector, which is then used to find the weighting of individual aspects<sup>[12]</sup>. Adopting the recommendation of Saaty<sup>[10]</sup>, this study employed a consistency index (C.I.) of  $\leq 0.1$  as a threshold of acceptable bias. The study used the Expert Choice system to perform calculations when subjecting the selection results derived from the AHP questionnaire to consistency testing. Since neither the inconsistency ratio index nor the overall inconsistency ration index exceeded 0.1, the results met the requirements of logical consistency. Finally, the aspects and indicators obtained from the experts' selection results were assigned weights and a ranking order, completing the indicator system in this study (see Table 1). The results of this stage display the relative importance of the six aspects and 14 implementation items.



Tab.1 Service marketing indicators of nursery center

Framework	Levels	Aspects	Implementation items
Service Marketing Indicators of Nursery Center	Internal marketing 0.326	Professional ethics 0.483	To comply with occupational laws and regulations to perform service work0.325
			To implement the contract and commitment of the work0.367
			To work with enthusiasm and ethics0.308
		Nursing knowledge 0.517	To equip with professional knowledge and skills about infant health care, disease prevention, etc. 0.683
			To develop a nursing service plan, and to complete nursing record and related service matters. 0.317
	External marketing 0.312	Reputational image 0.786	To hire qualified nurses. 0.348
			To provide safe nursing environment and equipment. 0.387
			To satisfy government's visit and pass evaluation. 0.265
		Promotional modes 0.214	To deploy network communications platform. 0.652
			To handle all kinds of promotional activities. 0.348
	Interactive marketing 0.362	Educational care 0.539	To provide health care to young kids. 0.502
			To assist children to develop and learn. 0.498
		Parental communication 0.461	To promptly convey parents of children's situation of adaptability. 0.498
			To provide information and resource related to upbringing children. 0.463

## 5. Conclusions and suggestions

### 5.1 Conclusions

Through the above research process, this research constructs the service marketing indicators of a nursery center. Such service marketing indicators could be divided into three levels, namely, internal marketing, external marketing and interactive marketing. The average deviation of the weight proportion of the three levels was not significant, yet interactive marketing weighted slightly higher. The three levels of indicators is composed of six concepts, and a total of 14 implementation items for the indicators. Internal marketing indicators include the construction of professional ethics and nursing knowledge, along with a total of five implementation items for the indicators. With regards to internal marketing indicators, item "to equip with professional knowledge and skills about infant health care, disease prevention, etc." is considered the most important. External marketing indicators include the construction of reputational image and promotional modes, along with a total of five implementation items for the indicators. With regards to external marketing indicators, items under reputational image are more important than that under promotional modes. Finally, interactive marketing indicators include the construction of educational care and parental communication, along with a total of four implementation items for the indicators. With regards to interactive marketing, it is equally important to present the indicator constructs and executing the implementation items.

### 5.2 Suggestions

This research suggested that with the indicator framework of service marketing, nursery centers may implement the service quality management in their organization to enhance the professionalism of their internal staff and the external image of the organization. When it comes to interact with families of young children, in addition to the usual education and care services, it is also necessary to cooperate with parents in assisting children to develop and learn as well as to disseminate relevant information on parenting. In addition, it is suggested that the government should use the service marketing indicators as a counseling strategy to encourage the practical organizations to apply the

indicators and contents to the design of service solutions with the utilization of their internal management, external promotion and interactive services.

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## **Chapter 3:**

### **Social Sciences and Culture**



## Iranian Women Health Information Seeking Process: A Grounded Theory

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**Keywords:** Women; Health information; Information seeking; Grounded theory.

**Abstract.** Health information seeking is basic for judgments, beliefs and attitudes about health behaviors and influenced on knowing available resources for doing differently and complementarily. As health information seeking occurs in a personal interactions with and socio-cultural and health system context, the aim of current study was exploring health information seeking process in women to providing contextual and cultural based theory for promoting women health in result community health. So in this qualitative study was carried out on grounded theory approach. Data collection was initially purposefully and then theoretically followed by 18 semi-structured interviews with 17 participants and using other documents and field notes. The analysis was performed by comparative method using Corbin and Strauss 2008. Data analysis showed that the main concern of women is *hesitancy in self-survival*. The participants' main strategy to resolve this concern was *ensuring of information reliability* that was detected as the central variable of the study. *Hesitancy in self-survival* resulted in taking the strategy to validate the information. Context i.e. *culture of ignoring the client participation* caused the insufficient obtaining of information and confidence, but *Self-directing*, helped women on the path of self-learning and reaching certainty and comfort. The interaction between these variables finally led to the *Self-empowerment*. In conclusion different interactive factors effect on how women seek and validate health information. It seems that, health systems should be revised to find a new way in which patient's desires, capabilities, and religious-cultural aspects are more respected.

### 1. Introduction

Over many past years, patients and clients have been the passive recipients of health-care while the staff of the health-care system have protected their interests and provided benefits to them <sup>[1-3]</sup>. During recent years, another attitude has emerged where in the clients, equipped with a greater experience in the signs and symptoms of their own health, have functioned along the health professions helping the success of treatments by the use of this knowledge. Several factors have played a role in this change among them are humanistic considerations which define humanity as having self-determination and motivation <sup>[4]</sup>. On the other hand, policy-makers in the health-care

system and also the governments have admitted that the active clients possess greater potency for self-care and are able to reduce the economic burden of health-care section significantly<sup>[5-7]</sup>. Hence, patient participation has been increasingly recognized as a key component in redesigning of health-care processes and supported as an instrument for improving patient's safety.

The concept of patient participation consists of four categories of "information seeking and verifying", "information provision", "assertive utterance", and "expression of effect" of which "information seeking" is considered as the important component<sup>[8]</sup>. In the new paradigm, the client fulfills an active role in self-care as a self-motivating participant and is conceptualized as a pivotal capable factor who seeks information from numerous sources while their experiences form their decision-making in this search<sup>[9]</sup>.

Limited studies round the globe have investigated clients' health information seeking and their participation in care from viewpoints of clients' lived experiences. The current literature has mostly focused on clients' readiness for accepting responsibility in decision-making and on characteristics of individuals who are inclined to acquire an active role in self-care with specific therapeutic preferences<sup>[10, 11]</sup>. On the basis of present reports, women are active seekers of health information playing a key role in determining their family life style. So, this study focused on women's experiences. Seeing that these health information seeking behaviors are dominantly formed in the context of personal socio-cultural interactions and also in the health system, this qualitative study was designed to determine health information seeking process in women to take some steps for promoting women's health information and, consequently, community health through provision of a contextualized and culture-based theory.

## **2. Materials & methods**

The present study was carried out on grounded theory approached using Corbin & Strauss (2008) method. The participants of the study were 17 women who qualified to participate in the study and were selected using first, purposive sampling method and then, theoretical method while observing for maximum variation. The inclusion criteria included: being middle-aged married Iranian female, having acceptable communication and verbal skills, willingness to participate in the study, and being in good physical and mental condition for sharing experiences. Having obtained the required permission from Deputy-in-Research of Kerman University of Medical Sciences, the researcher attended the study field in person and obtained informed written consent from every participant. All the interviews were performed using semi structured interviews in a friendly quiet climate. The researcher asked some questions while keeping in mind the goals, topic, research questions, and research approach on the basis of interview guide. Some of these questions, for example, were: "How do you decide on obtaining information related to health? How do you apply the information to change your daily performance? When and how do you feel the need for information?" After each interview, some changes were made in the interview guide to manage the next interview correctly using the course of the previous one. Each interview lasted 45-120 min. The interviews were completed at the researcher's home or office at School of Nursing and Midwifery in Rafsanjan or at the participants' home or workplace. The interviews were written down immediately at their completion. To do so, the interviews were first listened to several times and then typed in Microsoft Word verbatim. The manners and qualities of the participants were also described besides the texts of the interviews. Moreover, the researcher attended the health-care centers and reviewed the booklets, pamphlets, CDs, educational brochures, etc. and used them in data analysis.

The data were analyzed with a deductive approach using continuous comparisons method in the following stages: grouping of semantic units including women's statements and words during the interviews and the materials obtained from observations and field notes, coding and labeling of meaning units, revising the codes on the basis of interview texts and information gained from other sources, reviewing and comparing the codes with regard to similarities and differences, combining similar codes and categorizing them, developing major categories on the basis of similarity and suitability, revision of categories and again comparing them with data, integrating the findings and

ensuring of strength of codes, and ultimately, identifying and distilling the main themes related to women's experiences in health information seeking process [13, 14]. Lincoln and Gooba's recommended criteria [15] were used to ensure of the accuracy and reliability of qualitative data.

### 3. Results

The participants were 17 married women aged 25-60 years. Five of them were housekeepers and the rest were employed. Six participants lived in village while the rest lived in city. Six were diagnosed with known disease and the others were apparently healthy. Twelve interviews were performed in the researcher's office and the rest at the participants' home or workplace. In data analysis, the comparison and grouping of 1267 primary codes on the basis of similarities and differences resulted in 56 primary categories and these, at more abstract levels, resulted in 14 subcategories. Finally, there were 5 major themes including: hesitancy in self-survival, ensuring of information reliability, culture of ignoring the client participation, self-direction, and self-empowerment.

#### 3.1 Hesitancy in self-survival

The continuous and comparative analysis indicated that the main problem and challenge of women is "feelings of insecurity and uncertainty" with respect to maintaining their health and survival. The crux of this stubborn problem substantiates at the time of onset of the disease in the individual, their family members, or close relatives which "exposes them to questions" and "places them in ambiguous conditions" leading to "feelings of anxiety and fear" which continues throughout their lives even after recovering their health. As an example, participant #9 stated in this regard: *"I got worried instantaneously. I thought perhaps I, myself, my family, my job, or whatsoever may be endangered anyhow. So, I sought much information"*. Sometimes, the elderly were reluctant to receive information that caused feelings of anxiety and uncertainty in them or which disturbed their daily living. Participant # 5 said: *"For example, when they are talking about cancer on the TV, I don't like to watch or hear it. I am totally terrified of information on malignant or persistent diseases"*.

#### 3.2 Ensuring of information reliability (core variable)

"Struggling to ensure of data reliability" included information seeking and verification which was able to centralize and integrate other categories and the produced data. The method of exposure to hesitancy and ambiguity and attempting to resolve it coincides with "perception of hesitancy in preserving self-existence" as the cause and the context of confidence-making. Within this context (floor), various strategies were applied for seeking information depending on perceived health level and the presence of disease. Women who enjoyed an appropriate level of health either ignored the posed question through "unwillingness to hear health concerns" or faced "ignorance towards health" via protective defensive mechanisms or "escaped" the reality of receiving information that confirmed malignancy of the disease. In the third strategy, to maintain health and "achieve a healthier life", and under the influence of "personal tendencies", the women sought their intended health information actively and passively from "general information sources" such as "electronic media", "printed media", and "internet data". The women participating in this study took two steps in an attempt to "receive safer health-care" and "disease-centered information" and also "to recognize "diagnosis and treatment of disease". If the present problem was chronic and familiar for the participant, their reference sources were primarily "their previous experiences", "social interactions" with relatives and companions, available "health-care givers", or "peers" who had rich experiences with the present problem so that they acquired information reliability by corresponding the information obtained from the above sources through "self-discovery". Additionally, they obtained the required information through turning to "religious teachings" and/or "traditional medicine" and "experiences of the older and elderly in the family". In the case that the present problem was unfamiliar and incompatible with their previous experiences or with the experiences of the associates, turning to "health-care givers" was prioritized. For instance, one of the participants



asserted: “Repetition of medical errors gave me the lesson to turn to various physicians, collect the opinions and experiences of different persons, categorize most of the shared issues, and then practice it...” (Participant #15).

### **3.3 The culture of ignoring client participation in care**

Regarding the present condition of structure and culture of our health-care system and the behavior of health-care personnel, women were involved in various challenges to reach information reliability. These challenges included “the conditions governing the health system”, “imperfect performance of personnel”, and “ignorance towards the right of information seeking”. Finally, the women obtained the reliable information depending on “level of health and information literacy”, “availability of sources”, and/or issues such as “shame and pudency”, “health costs”, “their previous negative experiences”, and “beliefs and values” and the likelihood of encountering the staff who could provide localized and comprehensible information compatible with their previous information system or did not succeed in obtaining reliable information due to the complexities of the present problem and received “contradictory information” from various sources. These conditions led to their “aggravated fear, anxiety, and indecisiveness” and prevented them from obtaining reliable information still keeping them in a state of “feeling of insecurity and unreliability”, so they continued to seek information. Participant #9 said about shame and pudency: *“Very often many questions on sexual issues struck my mind, yet I could not ask them because of shame and pudency”*. Furthermore, participant #3 explained about caregivers’ ignorance towards clients in this way: *“The physician behaved me in a way that I couldn’t ask them anything. They just write prescriptions without noticing what I am saying. They don’t see my questions as important”*.

### **3.4 Self-directing**

The women’s experiences demonstrated that self-direction helped them tremendously in the course of seeking health information to achieve self-confidence and obtain clear comprehensible information suitable for their beliefs, cultures, and customs. Participant #9 cited in this regard: *“I made great use of the experiences of those who had passed the training course. Their information is very compatible to my life conditions and are more practicable”*. Moreover, participant #4 relayed her experiences in this way: *“I decide myself where to find and from whom to obtain my required health information. I obtain them from my associates, religious sources, my family, or the health-care personnel who are available”*.

### **3.5 Self-empowerment**

The information seeking process drives the individual towards “self-empowerment” in “stress management”, “better compatibility with health problems”, and “control on the situation” via “modification of life style”, “performing preventive behaviors”, and performing “self-care” and “improved therapeutic compliance”. This will enable the individual to enjoy “better interaction with health-care personnel”, receiving high quality care”, “reduced cases of presenting to health-care facilities”, and “participating in decision-making”. To clarify this point, participant #15 said in this regard: *“When I received some information on hypertension, I learned to correct my diet. I don’t take much salt and sugar now. I feel I can interact with my disease which will be with me all my life”*.

## **4. Discussion**

In the present study, the health information seeking behaviors began in the context of exposure to fear, feeling of ambiguity, and assurance of information reliability. The results of some studies have also introduced the concept of “uncertainty in daily living” as the major challenge <sup>[16]</sup>. Another study stated that women get hesitant in performing their familial and social duties in future by entering the disease process, initiation of treatment, and awareness of disease threat. Then, they started to seek health information from health personnel to settle these ambiguities <sup>[17]</sup>. The women

participating in this study, acquired a strong inducement for seeking health information following the feelings of insecurity and hesitancy in maintaining their existence. They resorted to different information seeking strategies to pass rightly and safely through the health-threatening pathways. The concept of security and assurance is introduced in Gage's study, too. The parents of cancer-affected children also got in touch with the parents of children with similar diseases through linking to social networks to ensure of care quality. In this way, they received the opinions of others and got assured of safety of care <sup>[18]</sup>. According to our findings, the women faced some challenges like the influence of beliefs and values, feelings of shame and pudency, previous negative experiences, and health-care costs in seeking health information. They failed to respond to their felt requirements of information in the path to obtain reliable information due to inadequate information on the network, inadequacy of information and health literacy, and insufficient availability of information sources. Also, they faced contradictory information from various sources. In these conditions, they figured out the necessity of information filtering and formed their concept of experimentalism and specialty-centeredness. In so doing, they made greater benefit from local specialties due to their common cultural backgrounds, easy interaction, and the same language of communication. However, they encountered the deficient performance of caregivers due to structural problems present in the health-care system and perceived and experienced their ignorance towards their own right of information seeking. These findings are almost similar to those of other researchers especially in a context similar to Iran. For instance, Das showed in a study that the participating women faced some psychological problems and also problems in the structure of health system in their health information seeking behavior <sup>[19]</sup>. In another study by Wathen et al., availability of appropriate health-care, information literacy, health literacy, stress induced by receiving of internet information, and lack of correspondence between health system assumptions and women's life realities in the context of seeking health information were experienced and described <sup>[20]</sup>. The concept of self-direction can be looked at from two viewpoints: on the one hand, turning to informal unscientific sources may bring up some concerns about the possibility of exchanging wrong health information among the clients; on the other hand, these sources can be used as key factors and powerful sources for spreading useful and correct health information. The findings of this study further suggested that health information seeking behavior can empower women to cope with their health problems and disabilities and encourage them to seek more health information. This is consistent with the current literature so that acquisition of health information resulted in reinforcement of patients' role in the management of their health-care <sup>[21]</sup> and their empowerment to filter the received information <sup>[22]</sup>. Moreover, a significant correlation has been reported between health information exchange and higher self-confidence and also encouragement for seeking more health information <sup>[23]</sup>.

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## Networks in Higher Education: A Marketing Approach

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**Abstract.** Although network organizations are considered to be an economically promising way of business development, very few studies have investigated such structures in the field of education. This paper sets out to apply the approach of marketing to the evaluation of networks in higher education. The aim was to develop a set of methodological criteria that were further used to assess the Network established by the federal universities in Russia. It is shown that the existing Network has a number of distinct organizational disadvantages, which are certain to impede the development of its members. The developed methodological marketing criteria can be used to assess the potential of networks in the education systems of all countries with transforming economies.

### 1. Introduction

The phenomenon of networking relationships in business received a solid theoretical grounding during the last two decades of the 20th century. However, in its application to the Russian economy, what was always unlikely to be applicable in the tragic transition of the domestic enterprises to the market, and consequent destruction of the connections between them, remained only an elegant concept. At the beginning of the 21st century, the tendency towards disintegration was arrested and the economic situation began to change: industrial enterprises moved into recovery while the services sector intensified its search for civilised forms of provision as part of a growing process of integration. In these circumstances, the face of traditional marketing changed as the practice of relationship marketing started to take hold. In the scientific literature, an avalanche of elaborations by domestic experts, devoted to the networks between Russian enterprises and the development of marketing through these interactions, was published. Based on studies conducted by their foreign counterparts working in the field, domestic experts have made a significant contribution to the development of network marketing theory and interaction<sup>[1, 2, 3, 4, 5]</sup>. However, a consensus is yet to be reached between Russian and foreign researchers on a number of issues relating to the essence of network forms of interaction and the marketing rationale behind their occurrence. In addition, an analysis of this problem in specific areas, including higher education, is rarely found in the literature.

Meanwhile, networking and the marketing orientation of actors according to market relations are particularly relevant to the field of higher education, since they consist in the projection of the unique structure of educational services market entities. The providers of such services, whose

product offering takes the form of competencies developed in their students and trainees, consist in higher education institutions. The consumers of educational services take the form of B2B and B2C markets. The B2B market consists of intermediate consumers; students and graduates play this role in higher education institutions. Unlike in the traditional business market for goods and services, students and graduates comprise numerous and informal sellers of competences to the end-consumer. The role of organised, finite end-consumers is performed by enterprises, who lack direct relations with the university as provider of educational services. This "overturning" in the organisation of B2B and B2C markets and absence of direct links or networking between end-user companies and universities prevents the formation of a corresponding product offering as well as failing to attract interest on the part of potential investors in educational services.

The aim of this paper is to develop a marketing approach to the interpretation of the origin, nature and evaluation of networks and provide an analysis of network cooperation between and within Russian higher educational institutions on the basis of a creative adaptation of the integrated reciprocity methodology as presented in the literature. The significance of the developed method is expressed in the fact that it can be applied to the analysis of network structures in transforming economies.

## **2. Background**

Research into a wide array of literature in which issues of business network integration are raised indicates that the nature of inter-firm networks is the subject of study of various sciences: social network theory, organisational ecology, new institutional economics, sociology, psychology and others. A definition of the essence of the networking phenomenon may be hard to arrive at due to differences between the objects of these sciences; however, they should not be opposed to each other, since the comparison of the different theoretical approaches reveals a lot of intersections that enrich the networking paradigm.

Representatives of the different approaches carry out objective research into reasons for the appearance of networks within the framework of the objects of their own respective science. From the marketing perspective, these reasons are to be found in the evolution of market needs, which reflects the transfer of one marketing concept into the more developed one. This evolution is only scantily represented in the literature; however, such literature is rich in the analyses of conditions that enable to explain market needs at different stages of the development of marketing. For the purposes of this study the authors propose an original treatment, linking development needs with known marketing concepts.

The concept of industrial development can be characterized as aimed at the development of standard needs initiated by mass-produced goods<sup>[6, 7, 8, 9, 10]</sup>. The concept of goods development resulted in the process of individualized<sup>[11, 12, 13]</sup>. The concept of intensification of sales efforts, which provided a wide choice of goods, psychologised the individual needs of the population<sup>[14, 15]</sup>. In the concept of traditional marketing, which defined the sovereignty of a customer, his individualized and psychologised needs were filled with the intellectual content<sup>[16, 17, 18]</sup>. The concept of social-ethical marketing manifested the rationalization of material needs and the growth of spiritual needs<sup>[19, 20, 21, 22]</sup>. In the more recent concept – the marketing of interaction – customer decisions are increasingly governed by the integration of goods and services provided by different suppliers, which implies a reduction in the time taken for the selection and purchase of goods and services<sup>[23]</sup>.

At the core of the increased consumer requirements lie, in the first place, the aggregation of needs, during which one need causes the appearance of another, being converted into the consumer problem complex, and, in the second place, the increasing status of all needs within this hierarchy and their expression in hedonistic terms (even including food products)<sup>[24]</sup>. It seems entirely obvious that such needs will not be able to be individually satisfied by a single firm. Such a

possibility may, however, be realised by means of a business network, consisting in a dynamic partnership between enterprises.

The claim that the emergence of the networking of business arose as a consequence of an evolution of needs coincides with the evolution of marketing relations, characterised by F. Webster in terms of phases of transition from simple to recurring transactions, through long-term relationships to establishing partnerships between the seller and the buyer, strategic alliances and business networks, and, finally, towards vertical integration <sup>[25]</sup>. Thus, the networking of business emerged and developed within the marketing paradigm in accordance with the transformation of the market and can be defined as a voluntary and equal intra- and inter-sectoral association of enterprises for the implementation of an overall strategy for competitive advantage and in order to better meet increasingly complex and complexified market needs <sup>[26]</sup>. However, a market analysis of emerging network interactions involves the use of theoretical intersections with other platforms.

Thus, according to the well-known theory of competitive advantage (M. Porter), the definition of types of networks lies in their focus either on the creation of value for the various market participants or in their reduction of producer costs. The marketing network analysis platform can be enriched by a scientific classification of its forms. In addition to traditional approaches, hybrid forms, such as quasi-integration, are of particular interest. Hybrid forms include the establishment of controls over the management of the assets by companies not legally affiliated with their owners <sup>[27]</sup>.

The marketing characteristic of networks presupposes Williamson's theory of contracting, which classifies the coordination of agents' activities as divided into classical, neoclassical and relational contract types <sup>[28]</sup>. According to Sheresheva, the contract typology is determined by the market, hierarchical or hybrid (AC) nature of interacting agents <sup>[27]</sup>.

A significant contribution to the marketing concept of networks was made by Lipnack and Stamps, who formulated the following key principles of interorganisational networking: common goal, independence of members, voluntary connectedness, presence of multiple leaders, integrated levels <sup>[29]</sup>.

In terms of marketing, the vitally important role played by networking in ensuring coordination between network partners, is acknowledged by many researchers. There are two main positions in the interpretation of network cooperation. Under the first approach, cooperation is understood as between equal participants, based on trust and the equality of interests of all of its members <sup>[27]</sup>, under the second approach, cooperation is associated with strategy, control, authority, dependency, conflict, competition and inequitable exchange <sup>[30, 31]</sup>.

Thus, in support of a marketing assessment of networks should be used: (1) characteristics of the needs to whose satisfaction the network is directed; (2) the definition of the class of network; (3) type of network contract; (4) the conformance of the network to the principles of networking; (5) characteristics of cooperation in the network; (6) definition of the competitive advantages of the network.

The selection of networking criteria in the next section of the study is used to present an analysis of the networks of a number of federal universities in Russia alongside a consideration of its practical results. It is noted that such an analysis at the initial stage of formation of the network will certainly be different from a future in-depth study following the accumulation of additional information.

### **3. Networks in Russian higher education**

The object of this study in the sphere of higher education was not chosen at random. It is specifically in this area, in developing the intelligence of the country in the form of higher education institutions, that a broad range of the material and spiritual needs of students, teachers and prospective employers are met. To achieve this goal it is necessary for the university as subject

of market relations to form and strengthen the numerous synergies between itself and other business entities, while saving financial and other resources.

As an example of such a network, we refer to the "Club of Nine" established by a number of Russian federal universities in 2013. This network includes the Ural, Baltic, Far East, Kazan (Volga), Northern (Arctic), North-eastern, North-Caucasian, Siberian and Southern Federal Universities. Later, the Crimean Federal University became a member of this network, updating its name to the "Club of Ten".

The purpose of the Network was the coordination of the activities of universities in the development of higher education, dissemination of experience on the organisation of educational process, scientific research, training of personnel, improvements in the system of continuous education, social protection and support of members of university teams, to enhance the impact of higher education on the level of socio-economic, educational and cultural development of Russia.

Although not explicitly declared as such, the main strategic aim of the Network can be seen in terms of the formation of a Network of universities included in the programme of academic mobility of students as well as that of academic and administrative staff. The priority of this goal is predicated upon the successes of each geographical university location, by which means a relative strength (objective competitive advantage) could be used by other participants in the network for the export of Russian education to the neighbouring countries of the Baltic, Scandinavia, Eastern Europe, the Black Sea, the Caucasus, Central Asia and the Middle East as well as the Asia-Pacific region.

Besides this purpose, the universities were intentionally created as educational, scientific, socio-cultural, innovative resource centres for the development of macro-regions, to accomplish modernisation of the educational process of networked joint educational programmes, to form a unified innovation infrastructure and information space on the basis of the association of all resources (including electronic library systems and informational databases) for collective use. In the enumeration of Network tasks, considerable attention is given to the development university staff, their mobility and the creation of a single human resource centre.

From the perspective of marketing, this Network does not diverge from the ruinous Russian tendency to fail to base the approach to marketing on the development of business. The consumers, to the satisfaction of whose needs the Network activity is ostensibly directed, are not distinctly defined. The requirements of personnel as the internal consumers, the needs of students as intermediate consumers and the needs of the employer as the end product consumer of the network are only approximately denoted. The absence of a statement of the needs and requirements of these consumers of higher education services means that their needs cannot be classified.

Also lacking is a clear definition of the Network products. Thus, the international academic mobility of students, academic staff and administrative staff could be provided by any university in the Network, since each university has fairly extensive links with its foreign counterparts. When considering, for example, a new or improved competence in the educational programme of another network of the university produced by students, it would be difficult in the absence of an analysis of their needs, to analyse the related needs of students to realise such a possibility.

Thus, the purpose of the Network attested more to the possibility of using university networks to share limited resources. At the same time, the social and ethical aspects of Network plans should be noted.

In attempting to classify this Network, then, strictly speaking, it is intra-firm, having a single owner – the Russian Federal government. At the same time, members of the Network have autonomy within the framework of autonomy granted to them in accordance with the Federal Law "On Autonomous Institutions" №174-FZ, which entitles the Federal University to operative management of property, with the exception of real estate and valuable movable property assigned to them by their founder. This broad autonomy – and declared principles of coordination and



collaboration as a relationship management tool between members of the network – characterises its format as an inter-organisational cooperation network.

The absence from the side of each federal university of control over property – combined with the establishment of partial control over those active memberships composing the basis of their interaction – means that it is possible to classify this network as quasi-integrated, although with some caveats. In particular, this concerns the contract type, which can be described as neoclassical and usable within the relational framework.

The management system of the Network includes the Council of Rectors of Network Universities and the Educational Programme Network Council (EPNC). The Council of Rectors comprises a focal point whose competences include the development of strategic directions of the Network's development in domestic and foreign education markets, decision-making on new admissions to the Network and the output of the composition of existing educational institutions. The Council is headed by the Chairman and his deputy. Information and documentation support for the activities of the Council is provided by the secretariat. The Board of the educational programme network consists of one representative of each university. This council carries out operational functions with respect to the provision and implementation of educational programmes and determines the specific models of cooperation of universities.

Despite the presence of Rectors Council as the focal point, this network, in which the Council is not an independent participant, is polycentric: the principle of coordination of activities of the Network is carried out by means of reconciling the network participants' interests, negotiations, orders, programmes, plans and price mechanisms required to implement compensatory (financial) relations.

Due to the insufficiency of information concerning the Network, a response in the format governed by the principles of Lipnack and Stamps<sup>[29]</sup> is not possible. Thus, Network Regulations reflecting the university value system, the benefits accruing from the integration of its members and the uniqueness of their contributions are not represented in the documentation. It is also difficult to assess the cooperation ties between the university network, since principles of their corporate culture and specialisation based on areas of strength – the most important conditions of networking – do not find a place in the security documents. The only principle of a Network having an unconditional characteristic of the type described by Lipnack and Stamps is the voluntary nature of the connection between participants.

At this stage of the analysis of the Network, it is quite difficult to give a single-valued answer to any questions concerning its competitive advantage. This advantage is likely to have a basis in an expansion of the offer of educational services and their differentiation, and in accessing new knowledge, which will facilitate the entry of the Network into new markets, reduce competition and extend control over the market environment. A strong emphasis in the Network Provisions on the formation and concentration of the resource component of its activity will facilitate the access of its participants to resources in order to achieve this advantage.

#### **4. Discussion**

The methodological and empirical analysis of networking in the field of education, carried out by the authors from a marketing perspective, has shown that the evaluation of such a form of interaction could not be carried out using any one theoretical platform. The interdisciplinary approach taken by the authors in this study allowed the assessment methodology to be identified and integrated according to the following criteria:

- Characterisation of needs to whose satisfaction the network product is directed;
- Determination of the network class;
- Determination of the network contract type;
- Evaluation of compliance with the principles of network interaction;

- Determination of the features of the cooperative ties between the members of the network;
- Evaluation of the competitive advantage of the network.

This technique can form part of the conceptual study underlying a network creation project.

The analysis of the Network created by the ten federal universities of Russia, which was carried out by the authors employing this procedure, showed that the information presented in the network documents does not suffice to provide a single-valued evaluation according to the chosen criteria. The inability to identify this Network is explained not only by the weak preparatory work at the conceptual stage of the project's creation, but also by the objective variety of types of networking, which prevented an unambiguous classification according to real-world examples<sup>[27]</sup>.

Nevertheless, the set of criteria laid down by the authors in the methodology of the marketing assessment of the networking of ten Russian universities, allows some conclusions to be drawn:

- 1) Since the "Club of Ten" Network has no marketing analysis of its target audience and its needs, it is doubtful whether the formation of academic mobility programmes on behalf of all the universities comprises a major strategic objective of the Network. It is, however, possible that the joint resources and competencies in terms of the assets and experience of the network university contribute to the resilience of the network.
- 2) The analysis of the classification of the Network characterises it as quasi-integrated type of inter-organisational collaboration, which is based on the neoclassical contract with elements of the relational contract.
- 3) Since the network has a focal point, which is not endowed by participant functions, it consists of polycentric mechanisms coordinating interests, programmes and pricing management tools.
- 4) With reference to the five principles of the organisation of successful networking (Lipneck and Stamps), the Network certainly corresponds to the principle of voluntary participation. However, in terms of the other principles – common views and values, benefits of integration and integration of the unique contributions of levels – it is not possible to assess compliance due to the lack of a project concept when creating the Network.
- 5) The competitive advantage of the Network can be evaluated by referring to the expansion of the range of educational services offered, by their differentiation and access of users to new knowledge, by output to new markets, decrease in competition and expansion of influence on the market.

The formation and development of such a network, which was created by ten universities of Russia, requires the use of project management methodology and an understanding of the marketing concept of the project. However, the material submitted for analysis indicates that Russian organisations, including universities, tend not to take such an approach towards managing their activities.

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## A Contrast Analysis of Sigmund Freud and Karen Horney's Theory of Psychology

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**Keywords:** Sigmund Freud; Karen Horney; Gender difference; Women psychology.

**Abstract.** Sigmund Freud is the greatest psychoanalyst worldwide and his theory of psychoanalysis is well recognized in various fields. Karen Horney is a great feminist psychoanalyst who criticized many Sigmund Freud's ideas of psychoanalysis, especially Freud's ideas on gender difference and women psychology. This paper tends to analyze Horney's objection against some Freud's idea of psychoanalysis in order to deeply understand the development of psychoanalysis.

Sigmund Freud is an Austrian neurologist and is regarded as the father of psychoanalysis. His contribution to psychoanalysis not only blazed the trail of psychoanalysis, but also has greatly influenced literature, philosophy, theology and many other fields. In Freud's theory of psychoanalysis, he, though being a male, also discussed the issue of women psychology. Freud is often recognized as an anti-feminist as in many of his books he stated female's inferiority than the male, while his contribution to psychoanalysis has laid foundation for the development of feminist psychoanalysis. Feminist psychoanalysis firstly sprang up in the 1940s. To some extent, feminist psychoanalysis has inherited and developed Freud's psychoanalytical theory. When Karen Horney, an outstanding feminist psychoanalyst, started her career as a psychoanalyst, she believed her work is a further study of Freud's. Karen Horney once said, "I do not want to found a new school but build on the foundations Freud has laid."<sup>[1]</sup> However, feminist psychoanalysis also criticized and objected Freud's point in his theory. When Horney finally found a school of her own, it turned out to be a new approach to psychoanalysis that reversed Freud's ideas to a great extent. This paper tends to make a contrast discuss of Freud and Karen Horney's theory of psychology from the perspective of gender difference and women psychology for a better understanding of the development of psychoanalysis.

Sigmund Freud was born on May 6, 1856, in a Jewish family in a small town named Freiberg in Moravia. When he was four or five, his family moved to Vienna, Austria, where he spent most of his life. In Freud's time, Vienna was a typical male-dominated society where there were strong prejudice to woman and woman had quite an inferior social status. At the same time, Freud, being a Jew, found out Jewish woman's suffering under the oppression of the strict patriarchy in the Jewish people and religious constraints. Such social condition in Austrian-Jewish culture then built Freud's the view that men are superior to women, which could be seen in his theory of psychoanalysis.

Karen Horney is a great feminist psychoanalyst. Her theory of psychoanalysis is greatly influenced by her own gender and her personal experience. Karen Horney was born on September 16, 1885 in a village near Hamburg, Germany. She was the second child of in her family. When she was young, she always thought that her parents preferred her brother, Berndt over her and she

envied her brother for being a boy, “I know that as a child I want for a long time to be a boy, that I envied Berndt because he could stand near a tree and pee”<sup>[2]</sup>. At the same time, she had a bad relationship with her father who denied her in various ways. Such lack of love in family and a sensitive mind to recognize her parents’ unfair treatment led to Karen’s vengeful thoughts and made her a feminist. Once she said, “If I couldn’t be beautiful, I decided I would be smart.”<sup>[3]</sup> After Horney grew up, she started her career as a psychoanalyst and later practiced her work mainly in America. Many of Horney’s theory were formulated in America where women are more liberated and enjoy much more rights, while Freud’s theory was formulated in a totally different culture of Vienna. Being a feminist psychoanalyst, Horney acknowledged and agreed with Freud on many issues of psychoanalysis, while she also criticized on several key beliefs of Freud.

## 1. Oedipus complex

Oedipus complex is a term Freud used to explain the emotions and ideas in a child’s unconsciousness of having the desire to possess the parent of the opposite sex sexually.

Freud is a biological determinist and he strongly advocated that anatomy is destiny. He believed that all human thought, emotion and behavior come into being due to some innate reasons. To Freud, the early child development (ECD) is a life-long determinant of one’s personality formation. In his *Three Essays on the Theory of Sexuality* which embodies his theory of children’s sexual psychology, he argued that during the age 3 to 5 (the phallic stage) both boys and girls have and present Oedipus complex. Boys have the fancy of possessing the mother and rejecting the father and girls have the fancy of possessing the father and rejecting the mother. Such Oedipus complex is due to the biological difference between boys and girls. Initiatively, both boys and girls are of the same sexual origin and have the sexual desire to their mother, which is regarded by Freud as the infantile id. Boys’ sexual desire to the mother turns to castration anxiety or castration fear due to the fear of the father’s vengeance. In order to solve such problem, boys choose to accept the father and turns the father’s standard of value into his, thus forms the “super ego”. Girls gradually realize that they do not have the penis and are already castrated. As the girl is lack of a penis, she cannot sexually possess the mother. Then, the girl redirects her affection to her father and only when the girl has a child, could she feel the absent penis be replaced. Freud wrote: “girls feel deeply their lack of a sexual organ that is equal in value to the male one; they regard themselves on that account as inferior.”<sup>[4]</sup>

In this case, girls’ Oedipus complex can not be well alleviated nor resolved and the superego can not be formed. Thus girls’ psychological development lags the boys’ and they tend to be more sensitive, lack of justice and more unwillingly to accept the reality. They could not fully integrated into the culture and they become the governed and marginalized in the social life. Freud thus considered a girl’s Oedipus complex to be more emotionally intense than that of a boy, resulting, potentially, in a woman of submissive, insecure personality.<sup>[5]</sup>

Unlike Freud who believed that inner gender difference plays a dominant role in forming one’s personality, Horney greatly emphasized that the outside social relationships matter the most to build one’s personality. When it comes to Oedipus complex, Horney regarded Freud’s understanding as distorted and interpreted it from a perspective of social relationship. Horney agreed with Freud on the importance of early child development (ECD) in the development of a person’s personality. However, unlike Freud who believed that the biological force is the main factor in shaping the adult personality, Horney disagreed with Freud about the biological difference between boys and girls to generate Oedipus complex and did not believe that the boy and the girl are of the same sexual origin. She pointed out that there exist conflicts in the relationship between children and parents and when interpreting what Freud called Oedipus complex, Horney regarded such feeling as generated from the emotional ambivalence of a child’s dependence on one’s parents and, at the same time, fear and hostility to them.

As to Horney’s own experience in childhood and adolescence, there existed conflicts between her parents and her. In her family, she seldom felt love from her parents that she longed the most.

When Horney was sixteen, she wrote that, “Why is everything beautiful on earth given to me, only not the highest thing, not love! I have a heart so needing love”.<sup>[6]</sup> Such lack of love in Horney’s childhood and her need for her parents as a child may explain her interpretation of Oedipus complex.

Horney believed that when parents behave in a way that undermines child’s need for warmth and security, a sense of hostility in the child to the parents will be produced and developed. To be specifically, such parents’ behaviors include preference to another child, indifference, unfair and over punishments, broken promises and making fun of the child, and if the parents tell the child their behaviors are out of their parental love, the child have the instinct to tell the difference from the genuine love and these behaviors. While, the child still depends on the parents due to the child’s inability and helplessness so that expressing hostility is not a viable option for fear that such hostility will lead to further insecurity. In this case, the child has to repress his hostility to their parents because he needs them.

“The resulting picture may look exactly like what Freud describes as the Oedipus complex: passionate clinging to one parent and jealousy toward the other,”<sup>[7]</sup> while, such Oedipal feelings cannot be linked to the children’s sexual origin. Moreover, Oedipus complex is not widely existent in children. A child with lots of parental love does not fall into such condition and it only develops when the parents neglect the child’s need for safety. Horney also added that the Oedipus complex has a long-term impact to one’s personality. He who suffers from Oedipus complex in his childhood tends to be more negative after they grow up. By this, Horney delivered a quite significant point for a children’s upbringing, while, disappointingly, Horney failed to explicate a child’s choice of the opposite sex in their parents to have an intimate relationship.

## **2. Penis envy and womb envy**

In 1908, Freud introduced his theory of the concept of “penis envy” in his article “On the Sexual Theories of Children”. By “penis envy”, Freud theorized it as a stage of female psychosexual development. It occurs when girls feel anxiety accompanied with a sense of loss at realizing that they do not have a penis like the boys. Freud believed that girls’ realization of lack of penis is important in their psychological transition to a mature female sexuality and gender identity. In Freudian theory, the penis envy stage begins the transition from an attachment to the mother to competition with the mother for the attention, recognition and affection of the father.<sup>[8]</sup> Due to the lack of penis, girls feel a sense of inferiority and the impact of such negative feeling is far-reaching and continues to affect girls the whole life.

Horney accepted Freud’s concept of penis envy and admitted that there were women who thinks they are inferior to men and are unsatisfied with their own sex and want to change their sex. However, she challenged Freud’s claim of women’s sense of inferiority deriving from the biological difference between women and men. She argued that, when a woman feel unworthy and inferior to men, it is not because she is a woman but due to the unfair treatment that she received in her society. Furthermore, she believed penis envy only occurs occasionally in neurotic women who suffer from unreasonable fears and worries. (Freud has treated many neurotic women and Horney believed that Freud’s analysis of women psychology is mainly based on his treatment to those neurotic women) Female’s envy to the opposite sex, which is due to the penis envy as to Freud, is more likely due to the inferior social status in the patriarchal society. Besides, Horney confuted Freud’s concept of penis envy by arguing that men also envy women because of women’s capacity to bear children. “When one begins, as I did, to analyze men only after a fairly long experience of analyzing women, one receives a most surprising impression of the intensity of this envy of pregnancy, childbirth, and motherhood”.<sup>[9]</sup> Moreover, She suggested that womb envy in men occurs just as much as penis envy in women.

Horney considered men’s womb envy as a cultural and social reaction to their disability, but not an inherent psychological state. Human’ reproduction pushes the development of human civilization

and it plays a significant role in human society. However, men play such a small part in creating new life and feel unworthy. Thus, a sense of womb envy in men develops. At the same time, men feel a sense of anxiety and resentment because of only women possessing a womb. In order to dispel such sentiments and keep their dominant social superiority, men unconsciously and automatically disparage and belittle women to reinforce women's marginal and inferior status. Concretely, men deprive women from equal rights, provide few opportunities to women to make contribution for the society and purposely neglect women's important role in domestic affairs, which, in turn, cause women's sense of inferiority.

In this regard, there is no superiority nor inferiority between men and women as they both have something that the other does not. It seems that a clear understanding of the men and the women's own features could help better conduct psychoanalysis.

### **3. Feminine psychology**

In Freud's theory of psychoanalysis, he, though being a male, also discussed the issue of women psychology. When analyzing women psychology, he referred to the biological force to explain women character and ignore the cultural influence. To Freud, women play a tragedy of destiny and are born to bear an inferior and passive state of psychology.

When Horney did her research on the women psychology, she believed that the development of women personality is greatly influenced by the culture, thus, different cultural background may form different women psychology and it should be analyzed dialectically. Difference in Chinese women's personality in traditional Chinese society and in rapidly changing Chinese society can be used to illustrate Horney's point.

In traditional Chinese society, due to the spread of thought of Confucius who held the view that men enjoy higher status than women in the whole country, women were seen to be inferior in many ways. Women were not allowed to get education nor go to work and there was even a saying goes, "a woman without talent is virtuous." In a family, a husband could have several wives but the wife should be absolutely obedient to the husband. It is also acceptable that a husband could divorce his wife at any time he felt unsatisfied. The wife was forced to deliver a boy for "mother is prized because of her son". If the wife had no son but only daughters, her family status would be very low, namely as a servant who should not even eat at the same table with her husband and other family members. Under such social condition, there is no doubt that women felt inferior to men and had a negative psychology of self-contempt.

In the year of 2016, the law against family violence in China will be enacted. Due to the domestic violence phenomenon in China that women are mostly the victim in the domestic violence, the enactment of this law is definitely an enhancement of the social and family status of Chinese women. An American media commented that, it is a victory of Chinese women. In today's China, women are enjoying more rights than ever and women receive more recognition and respect both in social life and domestic life. Under such social culture, the view of women's inferiority than men in women is not as popular as before and Chinese women are more confident, independent than the old times.

From the contrast of the social attitude and expectation of women in ancient Chinese society and today's Chinese society, Horney's idea that feminine psychology is greatly influenced by cultural forces is easily accepted. Horney believes that only when the female are liberated from the social expectation that put on female in patriarchal culture, could people possibly penetrate to and understand the woman psychology and tell the difference between man and woman psychology.

### **4. Conclusion**

Freud is a great psychoanalyst. But due to his identity of being a male and his living background of patriarchal society, his analysis of psychology, especially of gender difference and women psychology is based on his own stand as a man and could hardly penetrate into the female's



standpoint. He believed in his idea that anatomy is destiny and regarded woman as born to be inferior than men. Karen Horney, a feminist psychoanalyst, analyzed the gender difference and female's physiological structure and growth model from a feminist perspective. Her basic idea is that the gender difference is due to the cultural and social forces and there is no line of authority between the men and the women. However, as she over stated the cultural influence on human psychology, she fell into a dilemma of drawing a distinct line between female behaviors caused by the outside culture and inner self. Disappointedly, she gave up her research on feminist psychology in 1935. To conclude, psychoanalytical feminism does not negate Freud's psychoanalytical theory entirely and the fusion of feminism and psychoanalysis build up a new step for the development of psychoanalysis.

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# The Provincial Governance Quality in China: An Empirical Study of Three Dimensions

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**Keywords:** Government capacity; Market capacity; Rule of law; Index system; Cluster analysis; Global factor analysis.

**Abstract.** This paper defines the core connotation of "China's governance", puts forward three dimensions of provincial governance quality assessment and designs evaluation index system. It uses global factor analysis to determine index weight and to calculates the index score of three dimensions of provincial governance quality in China (2001-2014). Cluster analysis is used to classify the provinces in China and to compare the results in 2001 and 2014. It is found that the government capacity is improved relatively slower in more than 50% provinces, the market capacity is improved relatively faster in 30% provinces, the rule of law is improved relatively slower in 1/4 provinces.

## 1. Introduction

The word "Governance" could date back to "steering" in classical Latin and ancient Greek, and mainly means control, guidance and manipulation <sup>[1,2]</sup>. A literature has discussed the connotation of governance from five perspectives <sup>[3]</sup>. In recent years, with the wide spread of the concept of governance in academic community, it's very necessary to quantify the concept of "governance". So, the quantitative research on governance has become a new focus in academic circles <sup>[4]</sup>.

Shi Xuehua et al <sup>[5]</sup>, Ross Wilson <sup>[6]</sup>, Tian Fa et al <sup>[7]</sup> have made fruitful exploration on the evaluation research of provincial governance quality in China. Among them, Shi Xuehua et al <sup>[5]</sup> designs index system of government public governance effectiveness from three perspectives---policy, institution and behavior. However, their research object only includes five provinces, and they only focus on cross-sectional data analysis. Based on government management competitiveness index in China's regional competitiveness development report(2004, 2005), Ross Wilson <sup>[6]</sup> uses stratified weighted average method to synthetically evaluate annual relative governance quality in 29 provincial regions(1985-2005), while his composite index is not comparable in different years. According to the level of public service output, Tian Fa et al <sup>[7]</sup> calculates 31 provinces' social governance index (2007-2014) with weighted sum method, and his composite index is comparable in different years.

To sum up, the existing empirical research has obtained many results in China's provincial governance quality, but there are some problems as follows: The first one is about the theory of governance quality evaluation that ignores to define the core connotation of "China's governance" and the other aspects of governance - the allocation of power, the second one is about the empirical analysis of governance quality that ignores to use global factor analysis. Therefore, this paper will focus on problems above, and adopt China's provincial panel data for empirical analysis.

## 2. Three dimensions of China's provincial governance quality evaluation

There are many theoretical explanations for China's economic miracle. About governance, it can be understood in two ways: optimal governance structure<sup>[8-11]</sup> and advanced high-level status of law. Therefore, the core connotation of "China's governance" is: strong government, marketization, rule of law, which not only focuses on the subject using power---government and market, emphasizing the ability to use power<sup>[12]</sup>; but also focuses on the power--the configuration and constraints, emphasizing the horizontal optimization of power allocation<sup>[13]</sup>, as well as the effective restraint of power. Therefore, this paper puts forward three dimensions of China's provincial governance quality evaluation: government capacity, market capacity and rule of law. Government capacity and market capacity are not only the ability to exercise power, but also the horizontal configuration of power. Rule of law is the effective restraint of power. Based on the three dimensions above and the existing research, this paper puts forward index system of China's provincial governance quality evaluation.

Tab.1 Index system of China's provincial governance quality evaluation

Dimension	Parameter	Formula
Government capacity	Financial resources	Local public finance budget income / Resident population
	Infrastructure	Standard mileage / Area
	Innovation subsidy	Government funds in science and technology funding / Resident population
	Education development	Education expenditure in financial expenditure / resident population
	Medical hygiene	Health manpower staff / resident population
Market capacity	Non - state - owned output	Non - state - owned gross industrial output value/ area
	Non - state - owned employment	Number of employees from private enterprises and self-employed/ area
	Non - state - owned investment	Non - state - owned economy investment in fixed assets / area
	Technology market	Technology market trade / Resident population
	Factor market	Foreign direct investment / area
Rule of law	Lawyer talents	Number of lawyers / resident population
	Litigation business	Number of Litigation Agents / Resident Population
	Law office	Number of law offices / Resident population
	Intellectual Property Protection	Number of patent applications / Resident population

## 3. Calculation method and index weight

### 3.1 Sample description and data processing

We cannot obtain data about "rule of law" in Tibet, Guangxi, Inner Mongolia and Gansu, so we focus on 27 provincial areas in China mainland, excluding Hong Kong, Macao and Taiwan. In order to avoid the differences in indexes and make the data available, sample's time span is 14 year (2001-2014). This paper uses linear estimation method and similar index substitution method to estimate the missing data, resulting in missing samples accounting for 4.8%(less than 5%) of total samples, so this paper uses table column deletion method with 360 valid samples remained.

### 3.2 Calculation of each index

Here are two main methods for the composite of each governance quality index: arithmetic average method and weighted average method which this paper uses. However, each sub-index is a relative number compared with the base period (2001), and describes the relative level of governance quality.

Tab.2 The calculation method of each sub - index of governance quality

Dimension	Formula
Government capacity	The weighted average of corresponding single index
Market capacity	The weighted average of corresponding single index
Rule of law	The weighted average of corresponding single index

### 3.3 Dimensionless of single index

There are six linear dimensionless methods<sup>[14]</sup>, this paper uses revised linear proportion method to reflect the original data more accurately, sets year 2001 as the base year of single index and 100 as maximum score, so the dimensionless score of other data in base year is between 0 and 100. In order to make single index comparable in different years, we learn from Fan Gang et al<sup>[15]</sup>, and do the dimensionless based on the maximum score in 2001.

### 3.4 Calculation of index weight

According to different sources of original data<sup>[16]</sup>, there are two main methods to determine the index weight: subjective and objective method. Global factor analysis is the combination of factor analysis and time series analysis method on the basis of classical principal component analysis, it can be used to understand the system track with time change, its data types include time series data and panel data, so this paper adopts global factor analysis.

## 4. Empirical results

### 4.1 Government capacity

Taking four cluster numbers for example, from 2001 to 2014, Beijing has continued to reinforce government capacity, and been ahead of the rest region of China; government capacity in Shanghai has improved relatively slower, been down from the first level to the second; Hebei, Shanxi, Jilin, Heilongjiang, Anhui, Jiangxi, Henan, Hunan, Hainan, Sichuan, Yunnan, Qinghai, Xinjiang have improved relatively slower, been down from the third level to the fourth; Guizhou government's capacity has improved relatively smaller, still been at the fourth level.

Tab.3 Cluster analysis results of China's provincial government capacity(2001)

Cluster number	Provincial regions
Three	First level: Beijing, Tianjin, Shanghai
	Second level: Hebei, Shanxi, Liaoning, Jilin, Hei Longjiang, Jiangsu, Zhejiang, Anhui, Fujian, Jiangxi, Shandong, Henan, Hubei, Hunan, Guangdong, Hainan, Chongqing, Sichuan, Yunnan, Shaanxi, Ningxia, Qinghai, Xinjiang
	Third level: Guizhou
Four	First level: Beijing, Shanghai
	Second level: Tianjin
	Third level: Hebei, Shanxi, Liaoning, Jilin, Hei Longjiang, Jiangsu, Zhejiang, Anhui, Fujian, Jiangxi, Shandong, Henan, Hubei, Hunan, Guangdong, Hainan, Chongqing, Sichuan, Yunnan, Shaanxi, Ningxia, Qinghai, Xinjiang
Five	Fourth level: Guizhou
	First level: Beijing, Shanghai
	Second level: Tianjin
	Third level: Shanxi, Liaoning, Jilin, Hei Longjiang, Jiangsu, Zhejiang, Hubei, Guangdong, Shaanxi
	Fourth level: Hebei, Anhui, Fujian, Jiangxi, Shandong, Henan, Hunan, Hainan, Chongqing, Sichuan, Yunnan, Qinghai, Ningxia, Xinjiang
	Fifth level: Guizhou

Tab.4 Cluster analysis results of China's provincial government capacity(2014)

Cluster number	Provincial regions
Three	First level: Beijing
	Second level: Tianjin, Shanghai
	Third level: Hebei, Shanxi, Liaoning, Jilin, Hei Longjiang, Jiangsu, Zhejiang, Anhui, Fujian, Jiangxi, Shandong, Henan, Hunan, Guangdong, Hainan, Chongqing, Sichuan, Yunnan, Shaanxi, Ningxia, Guizhou, Qinghai, Xinjiang
Four	First level: Beijing
	Second level: Tianjin, Shanghai
	Third level: Liaoning, Jiangsu, Zhejiang, Fujian, Shandong, Hubei, Guangdong, Chongqing, Shaanxi, Ningxia

	Fourth level: Hebei, Shanxi, Jilin, Hei Longjiang, Anhui, Jiangxi, Henan, Hunan, Hainan, Sichuan, Guizhou, Yunnan, Qinghai, Xinjiang
	First level: Beijing
	Second level: Shanghai
	Third level: Tianjin
Five	Fourth level: Liaoning, Jiangsu, Zhejiang, Fujian, Hubei, Shandong, Guangdong, Shaanxi, Chongqing, Ningxia
	Fifth level: Hebei, Shanxi, Jilin, Hei Longjiang, Anhui, Jiangxi, Henan, Hunan, Hainan, Sichuan, Guizhou, Yunnan, Qinghai, Xinjiang

## 4.2 Market capacity

Taking four cluster numbers for example, from 2001 to 2014, Shanghai has continued to reinforce market capacity, still been at the first level. Market capacity in Beijing, Tianjin and Jiangsu have improved relatively faster, been rose from the second level to the first; Anhui, Henan, Hubei and Chongqing have improved relatively faster, been rose from the third level to the second; Market capacity in Qinghai and Xinjiang have improved relatively smaller, still been at the fourth level.

Tab.5 Cluster analysis results of China's provincial market capacity(2001)

Cluster number	Provincial regions
Three	First level: Shanghai
	Second level: Beijing, Tianjin, Hebei, Shanxi, Liaoning, Jilin, Hei Longjing, Jiangsu, Zhejiang, Anhui, Fujian, Jiangxi, Shandong, Henan, Hubei, Hunan, Guangdong, Hainan, Chongqing, Sichuan, Yunnan, Shaanxi, Ningxia
	Third level: Guizhou, Qinghai, Xinjiang
Four	First level: Shanghai
	Second level: Beijing, Tianjin, Liaoning, Jiangsu, Zhejiang, Fujian, Shandong, Guangdong
	Third level: Hebei, Shanxi, Jilin, Hei Longjing, Anhui, Jiangxi, Henan, Hubei, Hunan, Hainan, Chongqing, Sichuan, Yunnan, Shaanxi, Ningxia
Five	Fourth level: Qinghai, Guizhou, Xinjiang
	First level: Shanghai
	Second level: Beijing, Tianjin
	Third level: Liaoning, Jiangsu, Zhejiang, Fujian, Shandong, Guangdong
	Fourth level: Shanxi, Jilin, Hei Longjiang, Hubei, Shaanxi, Hebei, Anhui, Jiangxi, Henan, Hunan, Hainan, Chongqing, Sichuan, Yunnan, Ningxia
	Fifth level: Qinghai, Guizhou, Xinjiang

Tab.6 Cluster analysis results of China's provincial market capacity(2014)

Cluster number	Provincial regions
Three	First level: Beijing, Tianjin, Shanghai, Jiangsu
	Second level: Hebei, Shanxi, Liaoning, Jilin, Hei Longjiang, Zhejiang, Anhui, Fujian, Jiangxi, Shandong, Henan, Hubei, Hunan, Guangdong, Hainan, Chongqing, Sichuan, Yunnan, Shaanxi, Ningxia, Guizhou
	Third level: Qinghai, Xinjiang
Four	First level: Beijing, Tianjin, Shanghai, Jiangsu
	Second level: Liaoning, Zhejiang, Anhui, Fujian, Shandong, Henan, Hubei, Guangdong, Chongqing
	Third level: Hebei, Shanxi, Jilin, Hei Longjiang, Jiangxi, Hunan, Hainan, Sichuan, Guizhou, Yunnan, Shaanxi, Ningxia
Five	Fourth level: Qinghai, Xinjiang
	First level: Beijing, Tianjin, Shanghai, Jiangsu
	Second level: Liaoning, Zhejiang, Anhui, Fujian, Shandong, Henan, Hubei, Guangdong, Chongqing
	Third level: Hebei, Shanxi, Jilin, Jiangxi, Hunan, Hainan, Sichuan, Shaanxi
	Fourth level: Hei Longjiang, Guizhou, Yunnan, Ningxia
	Fifth level: Qinghai, Xinjiang

## 4.3 Rule of law

Taking four cluster numbers for example, from 2001 to 2014, Beijing has continued to reinforce government capacity, and been ahead of the rest region of China; government capacity in Shanghai

has improved relatively slower, been down from the first level to the second; Hebei, Shanxi, Jilin, Heilongjiang, Anhui, Jiangxi, Henan, Hunan, Hainan, Sichuan, Yunnan, Qinghai, Xinjiang have improved relatively slower, been down from the third level to the fourth; Guizhou government's capacity has improved relatively smaller, still been at the fourth level.

## 5. Summary

This paper defines the core connotation of "China's governance", puts forward three dimensions of provincial governance quality assessment, and designs evaluation index system. It uses global factor analysis and cluster analysis to make an empirical study on each province in China. Main conclusions are as follows: Firstly, from 2001 to 2014, Beijing has continued to reinforce government capacity, and been ahead of the rest region of China; Shanghai and other 14 provincial areas have improved relatively slower, all have declined a level; Guizhou has improved relatively slower, still been at the fourth level. Secondly, from 2001 to 2014, Shanghai has continued to reinforce market capacity, still been at the first level; Jiangsu and other eight regions have improved relatively faster, all have increased a level; Qinghai and Xinjiang has improved relatively smaller, still been at the fourth level. Finally, from 2001 to 2014, rule of law in Beijing and Shanghai has had significant advantages, and been ahead of the rest region of China; Jiangsu has improved relatively faster and has increased a level; Jilin and other 7 provincial areas have improved relatively slower, all declined a level; Guizhou has improved relatively smaller, still been at the fourth level.

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## Explanation the Experiences of Obstetric Wards Personnel about the Factors Affecting Self-care in Mothers with Gestational Diabetes: A Qualitative Study

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**Keywords:** Diabetes; Self-care; Pregnant woman; Personnel.

**Abstract.** Gestational diabetes is the most common metabolic disorder that causes a lot of problems for mother and infant during pregnancy and delivery. This study aimed to investigate the experiences of obstetric wards personnel about the factors affecting self-care in mothers with gestational diabetes in Rafsanjan Nik-Nafs Hospital.

This study is a qualitative study and participants in this research were obstetric wards personnel of Niknafs Hospital of Rafsanjan University of Medical Sciences. The semi-structured interviews were conducted with 20 women. Purposive sampling was initiated and continued until data saturation. The average duration of each interview was about 30 minutes. All interviews were recorded and then transcribed and coded. The interviews has been done in Rafsanjan Nik-Nafs Hospital. The method of Content analysis was used to analyze the data. Perception obstetric wards personnel led to the extraction four main categories: Educational, cultural, social and managerial issues. 200 sub-categories were also classified in the main form. Educational issues, including all routine training for personnel that causes Increasing awareness, satisfaction and reduce confusion in self-care in mothers. The health workers training includes Continuing Medical Education (CME) Programs for physicians, nurses, and midwives. All information should be updated and also previous findings and concepts are



well-established. Cultural and social issues, including the correction of lifestyle and culture through mass media including television, radio, and the press are discussed that causes people pay attention to diet and nutrition, exercise and reduce obesity and overweight, reduce stress and its complications, genetic problems, and gestational age. Management factors includes motivating Personnel through encouraging and proper evaluation and feedback, satisfaction of patients and correction of problematic laws. This study showed that participants in the promotion of quality and quantity of education says that Conclusion: This study showed that participants in the promotion of quality and quantity of education say that Correction cultural and social factors influencing, Careful planning and management factors need for mothers with gestational diabetes to improve the quality of self-care

## 1. Introduction

A progressive increase in the prevalence of diabetes is one of the major health problems throughout the world. It is expected by 2030, the number of people with diabetes will double the current rate. The diabetic epidemic, including pregnant women as well <sup>[1]</sup>. Diabetes is the fifth leading cause of death in Western societies <sup>[2]</sup> and in Iran is located on top of non-communicable diseases (NCD) <sup>[3]</sup>. Gestational diabetes is a form of impaired glucose tolerance (IGT) in pregnancy or diagnosed for the first time <sup>[4]</sup>. The prevalence of gestational diabetes reporters around the world is 1% to 14% <sup>[5]</sup> but in Iran, according to research it is from 7.0 % to 6/18 % percent <sup>[6]</sup>. Gestational diabetes can have many adverse effects for mother and fetus, neonatal metabolic abnormalities such as hypocalcaemia, hypercalcemia, hyperbilirubinemia <sup>[7]</sup>, nerve paralysis, pre-eclampsia, eclampsia and the risk of impaired glucose tolerance and obesity in children born to mothers with gestational diabetes <sup>[8]</sup>. On the other hand, these side effects can be prevented or at least delayed by changing lifestyle <sup>[9]</sup>. Therefore, to effectively control and prevent its progress is needed Self-Care behavior <sup>[10]</sup>. Self-Care decreased 56 % from the complications of gestational diabetes <sup>[11]</sup>. Social and cultural differences in various countries can influence on obstacles and facilitate factors of self-care <sup>[12]</sup>. However, most studies in Iran has been quantitative research. Although few studies found that used self-care qualitative research methods to focus on pregnant women <sup>[13]</sup>. However, based on our search there isn't any qualitative or quantitative study in Iran that consider the experiences of obstetric wards personnel who are in close contact with pregnant women admitted <sup>[14]</sup> so This study aimed to investigate the experiences of obstetric wards personnel about the factors affecting self-care in mothers with gestational diabetes in Rafsanjan Nik-Nafs Hospital.

## 2. Materials and methods

This study is a qualitative study and the method of Content analysis was used to analyze the data. The method of content analysis enables the researcher to include large amounts of textual information and systematically identify its properties, such as the frequencies of most used keywords by locating the more important structures of its communication content. Such amounts of textual information must be categorised to provide a meaningful reading of content under scrutiny <sup>[15, 16]</sup>. The study of population in qualitative research are useful informant. Useful informants are people who have first-hand information about a particular phenomenon or that phenomenon to be experienced or are experiencing it or have particular viewpoints on the issue. participants in this research were obstetric wards personnel of Niknafs Hospital of Rafsanjan University of Medical Sciences. The criteria for this study include associated with diabetic pregnant women (having to experience the care of pregnant women with diabetes, Willingness to participate in the study, Awareness of the phenomenon under study and the ability to transfer information. Purposive sampling was initiated and continued until data saturation. The semi-structured interviews were conducted with 20 women. The average duration of each interview was about 30 minutes. All interviews were recorded and then transcribed and coded. the interviews has been done in Rafsanjan Nik-Nafs Hospital.

### 3. Results

Participants in this study were 20 Personnel of Nik-Nafs Hospital in Rafsanjan. The age range of them was 22-55 year and the work experience of them was at least 1year to 28 years. Perception obstetric wards personnel led to the extraction four main categories: Educational, cultural, social and managerial issues. 200 sub- categories were also classified in the main form.

Educational issues:

Educational issues, including all routine training for personnel that causes Increasing awareness, satisfaction and reduce confusion in self-care in mothers. The health workers training includes Continuing Medical Education (CME) Programs for physicians, nurses, and midwives. All information should be updated and also previous findings and concepts are well-established. The lack of same training by different personnel in the hospital causing anxiety in pregnant mothers.

Participant No. 2 states:

"Physicians do not cooperate with us to make identical education that is empower the mothers in self-care".

Participant No. 4 states:

"Physicians do not teach mothers the nutritional and self-care educational So when you give her a sheet of nutrition education. She thinks that she should eat all fruits and foods that written in the form".

Management issues:

Management factors includes motivating Personnel through encouraging and proper evaluation and feedback, satisfaction of patients and correction of problematic laws.

Participant No. 10 states:

"It's necessary for personnel to be trained and Continuing Medical Education (CME) be set up for them Management is responsible for the planning".

Cultural and social issues:

Cultural and social issues including the correction of lifestyle and culture through mass media including television, radio, and the press are discussed that causes people pay attention to diet and nutrition, exercise and reduce obesity and overweight, reduce stress and its complications, genetic problems, and gestational age.

Participant No. 18 states:

"Mothers tend not to exercise and think exercise is not suitable for pregnant women Every day we give to mothers dumbbells And we recommend that you exercise every day. This is how we have confidence in their training and expertise have great impact on them. So, lifestyle changes can begin from training personnel in the ward. If we train pregnant mothers with full confidence it will have best effects on them".

Participant No. 15 states:

"One Pregnant mother was worried because her blood sugar was good at home but when she admitted in the ward it's raised I explained to her because you are active at home but in the ward you are motionless. She was very glad to learn what to do and now she can take care of herself."

Participant No. 19 states:

"I start training from the moment that pregnant mother with gestational diabetes admitted in the ward. I do my first insulin injection and then she injects herself with my supervision and the last day when she discharged. She goes home without any fearing and anxiety. "

### 4. Discussion

All routine training for personnel, Continuing Medical Education (CME) for personnel, Correction of incorrect or forgotten training, Attitude correction, Training new personnel, Education to mothers with gestational diabetes were the findings of this study In this field various studies have found similar results.

Shakibazadeh and colleagues in a study on 128 patients with type 2 diabetes found a positive correlation between self-efficacy and self-care behaviors <sup>[17]</sup> in another study expressed that self-Efficacy based on successful performance and how to think and behave <sup>[18]</sup>

Correction of lifestyle, using of mass media including television, radio and the press, reduce obesity and overweight, reduce stress were the findings of this study.

How people face with their daily stresses and their compatibility with Community affected by several factors such as age, education and Culture and environment and previous experiences.

In another study expressed that contribution in pregnancy classes and receive group training due to the mother's use each other's experiences. These classes help reduce anxiety and promote women's health and lifestyle.

Therefore, it seems to empower personnel through the health service provider, Continuing Medical Education (CME), contribution in pregnancy classes by the media and a healthy lifestyle we can achieve the goals.

## **5. Conclusion**

This study showed that participants in the promotion of quality and quantity of education says that Conclusion: This study showed that participants in the promotion of quality and quantity of education say that Correction cultural and social factors influencing, Careful planning and management factors need for mothers with gestational diabetes to improve the quality of self-care.

## **6. Limitations**

Limited number of participants due to the nature of qualitative research and Choose only one hospital, including the limitations of this study, which may limit the generalizability of the findings. Also, the lack of similar studies in the country was another limitation to compare this study with other internal studies. For this reason, the repetition of similar studies can help to improve this concept better than before.

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# Big Data Application in Chinese-Style Entrepreneurship Finance: A Legal Arrangement for Regional Sci-Tech Finance Platform

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**Keywords:** Big data; Sci-Tech finance platform; Legal arrangement.

**Abstract.** Based on the rule of law, this article introduces scientific risk management measures, in order to create a joint and open risk management system for all participants in the China Sci-Tech Finance Platform, which includes both internal risk control module and the structure of external legal environment. Especially in the era of Big Data, applying the Internet technology to platform for forming complementary service system which including point to point, grid interconnection sharing, information exchange, resource sharing, to improve its operational efficiency and risk management level, might be very important for researching.

## 1. Introduction

Nowadays, financial innovation leads to new instruments and specialties. While financial institutions especially are focusing on the development of new science and technology (Sci-Tech) and those Sci-Tech achievements transform to those entrepreneur, Startups<sup>[1]</sup>, and emerging industry, most scholars discussed about it as venture-capital investment or Silicon Valley Finance in U.S., but it is known as “Sci-Tech Finance”<sup>[2]</sup> in China. As a result, when the Sci-Tech Finance project goes wrong, volatility can switch markets from tranquil to turbulent almost instantly, leading to “volatility clustering” that can lead to liquidity crises like those happened in the 2007-2009 financial crisis in United States, or the 2001 bursting of the Internet-economy bubble in worldwide.

China “Sci-tech Finance Platform”<sup>[3]</sup> (Hereinafter refers to “Platform”) has been recommended to gather as much information as possible to enhance anti-risk ability. It is a set of Sci-tech and financial resource gathered in that expand the data exchange, which value lies in the ability to solve the problem of asymmetry information between two sides. This article classifies Chinese Sci-tech Finance Platform into a kind of entrepreneurship economy.

As financial intermediary, the Platform likes to apply Big Data to develop explosive growth of customer data, in order to play the basic functions and conduct risk control. Generally accepted that while such Big Data technology and Integration platform will continue to play a transformative role, while facing data analytics challenges in Sci-tech Finance services, which more complex and risky field than other financial business.

Since the 18th Congress of the Communist Party of China, the improvement of the “Regional Sci-Tech Finance services system” supported by Sci-tech Finance Platform has become an important fulcrum in many provinces and cities that implement the national strategy “Innovation-Driven Development”.<sup>①</sup> With the assistance of regional Platform, every financial institution may apply the advanced analytical techniques and Big Data to conduct risk control.

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Based on the rule of law, this article introduces scientific risk management measures, in order to create a joint and open risk management system for all participants in the Platform, which includes both internal risk control module and the structure of external legal environment.

## **2. The review of research literature**

### **2.1 Chinese research status**

In recent years, China central and local governments have introduced a number of laws and regulations to promote Sci-tech finance. However, in our complicated laws and regulations, there are no provisions that "encourage Platform to construct risk management system" or "apply Big Data to enhance the risk control level of Platform". The reason is that there is no basis of theoretical research.<sup>[4]</sup> According to statistics of China Academic Journals Full-text Database (CKNI) in 2014, over the years, economists Wu Xiaoqiu (2003), Fang Han-ting (2010), Damien Tour (2011), Zhao Changwen (2011), Liu Zhibiao (2011), Deng Tianzuo (2012) Lu Min Feng (2014), , have discussed, from technology finance theory, empirical, policy, security system, service platform, aspects of venture investment, technology insurance, to Sci-tech banking, etc.<sup>[5]</sup> The legal scholar Zhou Chang Fa (2011), Fan Guo (2013), Yang Dong (2013) have focused on studying Sci-tech finance the construction of the rule of law, by starting from the perspective of security system, administrative supervision, and financial integration legislation. Recently, Lan QiuJun (2011), Yibing (2012), Meng Ke (2013), Chong Ling (2013), Ronin, Li Li, Yang Hu (2014), and other cutting-edge scholars have summarized Internet financial concepts, doctrine and its role in promoting Sci-Tech Finance system from the perspective of both static and dynamic.<sup>[6]</sup>

Focusing on behavior Big Data mining and Big Data application since 2000, the discussing themes distributed as follows: (A) 42 literatures in behavior data acquisition and analysis. (B) 65 literatures in spatial analysis; (C) 51 literatures in plan making and management application. (D) 25 literatures in new methodologies with big data. This illustrates that studies in spatial analysis and plan making & management application are current "hot topic".<sup>[7]</sup>

In summary, although there were many researches on Big Data and Financial risks, only few materials related to the Sci-tech finance risk, not to mention that it wrote for constructing the risk management of Platform under Big Data.

### **2.2 International research**

The economist Rustam Lalkaka (1996), Strahan.Peek, Rosengren (1998), James H.Love (1999) and Anait Pernlhalur (2001), Anna Llyina (2012) thought that the Government formulated the measures, which related to finance policy, government procurement, risk prevention, external environment. Batra, Mahmood (2003), Catherina Giannetti (2012) considered that the effect of Government funding and R&D supporting policy are not obvious, the key work of the government is to establish a sound legislative, judicial system and good infrastructure, and give adequate policy to Sci-tech enterprises. In addition, western scholars focus on those factors that change affecting the financial services, including: high frequency trading (HFT), money transfers; payments technology; peer-to-peer finance and portfolio analysis. Big Data offers rich opportunities and challenges for information systems' researchers and more generally for practitioners across the range of industry and not-for-profit sectors.

As for European and American scholars, due to they generally lacked of research information and data on how Chinese government-led Platform runs, and therefore there are less literatures on the risk management of Chinese-style Platform.<sup>[8]</sup>

## **3. Integrated risk management system of the Platform**

As shown in above Figure 1, in those developed provincial units of China, such as, Jiangsu, Zhejiang, Shanghai and Guangdong, etc, based on the county Sci-Tech finance platform as the core,



classify it into financial institution and make a specific Guidance for it.

## 4.2 Define the legal relations by agreements

To make series of legal documents to construct the data exchange framework in platform, such as: the main "service contract" that regulate the legal relationship among the participants in platform, the "Registration Regulations", the "Constitution", "Rules of Procedure of the Council", "Service system processes," "Data exchange regulations" etc. The above-mentioned documents of Platform may determine their legal positioning and legal relationship in the system. It comprise as follows: The function of guiding and management, the legal relationship between participants, the rights and obligations of all participants, allocation of legal responsibilities, the application of Big Data, credit system, policy system, mutual rights and responsibilities in the process of self-management system.

## 4.3 Legal documents should follow ACE

In the process of compiling the legal documents of platform, we may focus on that collect the data, identify the data of risk, manage under the background of the big idea, and form an ACE Integration Module of Risk Management. That is to say, all legal documents should be made based on Risk Analysis (Analyze), risk control (Control) and the implementation of risk assessment (Evaluate).

# 5. Construct regional risk management system under Big Data

## 5.1 Internal risk control system

### 5.1.1 Construct ACE Module for risk control

In the design of internal risk control system of the Platform, ACE Module may mainly consist of three modules. The abovementioned three modules should be designed to implement in below process.



Fig.2 The Risk Management Process

Among them, the functional of analysis module is the risk identification and assessment of Sci-Tech Finance through the big data. The function of the control module, around the results of risk analyzing, formulating and implementing of good adjust risk control measures. The function of implementation of the evaluation module is to assess the status of implementation of the control to achieve updating and improvement of risk control systems through the establishment of a data model. Three modules are interactive, and the cycle is formed a dynamic and closed-loop control system which supported by a large data.<sup>[12]</sup>

### 5.1.2 The process of internal risk control system

Firstly, the first step is to assess the financial risks of Sci-tech. The effectiveness of risk control system is depending on the accuracy and comprehensive of the assessing of risk factors. Therefore, the process of risk assessment may include the following: A, Identifying of risk factors; B, Grading of risk factors; C, Classify of risk factors.



Secondly, the process of risks solving contained two ways: risk control and risk utilization. Risk control is to control the downside risk (residual risks associated with the combined effects) of the platform, and cannot be eliminated by an effective method; risk utilization is to take advantage of the favorable risk as an opportunity so that the structure of risk and profit in the platform will be optimized.

## **5.2 Construct external legal environment**

### *5.2.1 Policy for encouraging the Data storage*

To learn from the philosophy of Internet finance, we'd strengthen public function of cloud computing services of platform, and encourages the core data of the settled research institutions and financial institutions to get on the cloud. At the same time, legislating to encourage various financial institutions in platform is to promote Internet finance concept into the settled financial companies of Platform.<sup>[13]</sup>

### *5.2.2 Policy for encouraging to study from Crowdfunding*

Firstly, debt-based Crowdfunding platform (P2P) credit is "peer to peer", which refers to that both supply side and demand side establish a direct relationship in a network environment. Each participant of network can initiate, circulate through the network for information exchanging, and establish the certain rules, lending amount, term, risk, interest rate and other factors match, then it access to sign a legal electronic contract. Studying from P2P mode, these measures of risk prevention for the P2P may be included in the risk management system of Platform to examine, and regulated by external legislation. Secondly, Equity-based Crowdfunding financing refers to raising equity capital investment via the Internet platform. Most Chinese equity-based Crowdfunding Platforms followed the "Syndicated model" that Angellist invented in the United States and provided some Lead investors. Typically, Syndicate leads are professional or semi-professional angel investors that hunt for deals around the clock and bring their syndicate opportunities that were not appearing on Angellist otherwise. For the ordinary investors who lack experience they can back syndicates led by more experienced investors. Therefore, it is necessary for the Platform to take efforts to collect the relevant information, which needed by each project, and apply Big Data technology to the comparing, analyzing and consolidation, which may effectively improve the ability of platform to match the project with finance.

### *5.2.3 Follow Basel rules*

To develop a sound regulatory system for Chinese regional Platform under Basel rules, CBRC may study the way of the United States OCC and FDIC, which grant supervisory power to the industry associations or NGO, and develop the administrative regulations or guideline, submitting to National People Congress (NPC) for legislation.

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# A Study on the Impact of Culture Differences in Cross-culture Business Negotiations

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**Keywords:** Culture difference; Business negotiation; Impact.

**Abstract.** Cross-culture business negotiation plays an essential role in commercial activities. There are a lot of factors that affect the results of cross-culture business negotiations. The negotiators have to understand not only the culture of the other team involved but also the cultural diversities between the two parties. The most importantly, they have to know how the cultural diversities impact the business negotiations. Only do they fully grasp the influential culture factors, can they foresee the process of the negotiation, timely adjust the negotiation strategies, and ultimately reach the negotiation agreements. This paper analyzes the impacts of cultural factors on cross-culture business negotiations, and puts forward some suggestions to avoid the undesirable effect of cultural differences.

## 1. Introduction

With the acceleration of the process of global economic integration, business activities between countries are of much frequency. Negotiation is the center of the business activities, thus the research on cross-culture negotiations becomes one of the hot topics. Cross-cultural negotiations are the negotiations that the negotiators belong to different cultures and do not share the same ways of thinking, feeling and behaving<sup>[1]</sup>. Simintiras and Thomas concludes that behavior in negotiation is consistent with cultures and each culture has its own distinctive negotiation style<sup>[2]</sup>.

Comparing with national business negotiations, cross-culture business negotiations have its specialty. The cross-culture business negotiations have three characteristics: the first characteristic is that it has transnational characteristics; the second characteristic is that cross-culture business negotiations have strong awareness of policies; the third characteristic is that the negotiations are happened between different cultures. Because negotiators come from different cultures, they have different awareness of value, different ways of thinking and the ways of behaving. An argues that because of the impact of culture differences, the negotiators from different cultures exist great difference in way of thinking, collective spirits and the negotiation styles<sup>[3]</sup>.

## 2. Cultural impacts on cross-culture business negotiations

### 2.1 Custom differences

In cross-culture business negotiations, there are usually some social activities, such as having tea, coffee, dinner, and so on. These activities, which affect the results of negotiations, are much affected by different customs. That is because "Custom defines social convention in which people are expected to behavior and etiquette is the code and practices prescribed by social convention that govern correct behavior"<sup>[4]</sup>.

Custom is established in a region by people throughout a long period. People think that it is the only reasonable way to do things, and it becomes their concept of value. Different regions have different customs, which will cause disputes in business negotiations. No matter Arabs, American, German, French or Australian, they have their own customs and believe theirs are reasonable ones. However, doing things in one's own way may cause conflicts with others and it may result in failure in cross-culture business negotiations. Therefore, dealing with custom differences skillfully has an important impact on cross-culture business negotiations.

## **2.2 Body language**

In business negotiations, negotiators use oral language to communicate. They also use gestures and facial expressions to express their views and feelings. In cross-culture business negotiations, negotiators always guess the other party's intention by interpreting their body language. Therefore, body language plays an important role in cross-culture business negotiations.

Firstly, body language may impact the process of cross-culture business negotiations. For example, when Chinese company negotiates with American company, the American put forward their conditions, and the members of Chinese company talk about theirs. If the Chinese shake heads, the American know that Chinese company don't agree with them. Then they will discuss the issue again. However, if there are smile on the Chinese negotiators' face, the American will know the Chinese negotiators accept their conditions. They will go on to discuss the next issue. Therefore, body language has important impacts in the process of the cross-culture business negotiations.

Body language also has impacts on the result of cross-culture business negotiations. If the gestures of negotiators give undesirable information at the end of negotiations, the negotiations may fail. That is because the same gesture may have different interpretation in the different cultures. For example, in most countries, the meaning of the gesture of OK is agreement. However, in Brazil, this gesture can be interpreted as hating someone. We think it's a praise, while they may consider it an insult. The results may not only be failures but also be disputes. Therefore, body language has important impacts on cross-culture business negotiations.

## **2.3 Individualism and collectivism**

Cross-culture business negotiation is treated as a team work, which requires team members to have strong group concept and cooperative spirit in the negotiation process. However, the negotiators from different backgrounds of culture have different understandings of collectivism. Some countries pay more attention to the effect of team. However, some countries pay more attention to the influence of individuals. The differences will affect the result of cross-culture business negotiations.

Negotiators with individualistic views tend to pay much attention to the task rather than relationship building. They emphasize on short-term interests. On the contrary, negotiators of collectivism emphasize on relationship rather than task. They do business with the persons but not the company. Long-term interests are the most important. Thus, the negotiators with individualism and the negotiators with collectivism have different aims before negotiations. And it will cause disputes in the negotiations. The process of negotiations will not be smooth and the result of negotiations will be affected.

Individualism and collectivism have important impacts in the process of cross-culture business negotiations. A team of collectivism need more time to make decision. However, a team of individualism need less time to make decision. Thus, the team with collectivism can make the time of negotiation long and the one with individualism makes the time of negotiation short. Japanese have the strongest group concept. Japanese culture which is shaped by the Japanese values and spiritual orientation is collectivism. Collectivism is the core of culture. The vast majority of Americans and Europeans believed that the Japanese decision making time is very long. The reason is the effect of group consciousness. On the contrary, German and French people value the role of the individual. They rarely consider the power of the collective, this is due to their organization. Their organization is correct, simple, carrying out responsibility system of individual; and personal power is very great. In the business system, German and French are responsible for individual

decisions, so the decision is made quickly and the efficiency of the negotiations is also very high. Even if negotiation is very professional, they can also be a person alone to negotiate with a team. Thus, while negotiate with the team from different culture, we should be aware about their understanding of collectivism.

### **3. Implications for effective cross-culture business negotiations**

#### **3.1 Respecting culture differences**

In cross-culture business negotiations, there are cultural differences objectively. If the negotiators can tolerate cultural differences, they will obtain smooth completion of the negotiations. If negotiators have a good command of the other part's culture, they may respect and appreciate the others' cultures. If they are interested in each others' culture, they will find each others' cultural value.

Therefore, negotiators should try to respect the cultural differences between each other. To understand and respect of each others' culture, negotiators should stand on the position of each others' point of view to think. Only when the culture is excavated, the generality of the cross-cultural business negotiation will be full of fun. In this case, the agreement will not only make the mutually benefit, but also establish a long-term relations of cooperation between companies from different cultural backgrounds. Moreover, in the negotiations, the negotiators who come from different cultures may have the demand that seems unreasonable to us. The solution to such situation is to stand on their points of view and try to understand them. Only in this way, can we have more chances to achieve a successful negotiations. If no negotiators want to respect others' culture, there will be more disputes in the negotiations and the negotiations will fall in vain eventually.

#### **3.2 Making sufficient preparation before negotiations**

To have the initiative in cross-culture negotiations, negotiators must make full preparations in advance. Only in the fully preparation, can the negotiators avoid sharp conflict during the negotiations, and the negotiations will be successful. However, the cross-culture business negotiations involve a wide range of work to be prepared.

The first is to know the situations of the other side. Jin suggests that understanding of negotiation opponent situation includes the opponents, policies, rules and regulations of the host countries, ways of thinking, customs and the opponent's personnel background conditions, etc.<sup>[5]</sup>.

The second is to have a good command of the culture differences between the other party and yourselves. In the preparation, negotiators should not only know their own situation but also make a fully comprehensive analysis on the other side. The circumstance analysis refers to negotiate project feasibility study. Understanding of negotiation opponent situation includes the opponents' policies, rules and regulations of the host countries, ways of thinking, customs and the opponent's personnel background conditions and so on.

Only when we have a good command of the opponent's culture and the culture differences between the opponent and ourselves, can we avoid the disputes in the cross-culture business negotiations. Basing on the preparation, we may have more chances to get a successful negotiation.

#### **3.3 Mastering skills of business negotiations**

In business activities between east and west, the influence of cultural factors determine the success or failure of business activities. Different cultural backgrounds result in different ways of thinking and behavior and form the different characteristics of negotiations. In order to achieve the success of cross-culture business negotiations, the negotiators should grasp some typical negotiating styles in different countries and negotiation skills.

The first skill is that negotiators should pay more attention to the ways of thinking. If the negotiators ignore that, the negotiations will end in vain. For example, when negotiating with

Japanese, the negotiators should pay more attention to the Japanese way of performance that Japanese comply to strict hierarchy. Language should be as implicit as possible and show enough patience. And negotiators should not make public criticism or rejection to Japanese in public. Otherwise, they will feel humiliated and become unrest. Then, negotiation would end up.

The second skill is that we should know the customs of the negotiation opponents. For example, Singapore and China have similar cultural background and they also pay attention to human feelings. When we negotiate with Singaporeans, the first thing to do is to make friendship with them. Thus, if you want to deepen the cooperative relationship, gifts can be used. Both sides can establish deep friendship after trading.

The third skill is to know the negotiation patterns of the other party. For example, German stick to principles. Their concept of time is very strong, and the work efficiency is high. When we negotiate with Germany, negotiations should be fully prepared in advance in accordance to the agreed-upon standards and rules. As the contract is no longer change, if anyone want to make a change, they are likely to cause trade disputes.

To be short, negotiators should respect the culture differences, make sufficient preparation before negotiation and master negotiation skills. Only in this way, can the negotiators make the negotiation go smoothly.

#### **4. Conclusion**

The influence of cultural factors on cross-culture business negotiations is the most direct and the widest one. As the global economic integration, the economic and trade activities have become more frequent. And the result of cross-culture business negotiations affects the results of the international trade. To take the favorable position in cross-culture business negotiations, negotiators should have a good command of cultural differences and its impacts on the negotiations. This paper studies the cultural impacts on cross-culture business negotiations and finds that there are mainly three factors, such as different customs, body language, individualism and collectivism, have great impact on cross-culture business negotiations. Custom difference impacts the process of negotiations. Body language impacts the process and results of negotiations. Individualism and collectivism have impacts on the process and the results of negotiations.

In order to get a good result in negotiations and make more profit from the international business, the negotiators should respect cultural differences of others, make sufficient preparation before negotiations and master skills of business negotiations. Only in these ways, can negotiators deal with the disputes properly in cross-culture business negotiations.

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## Media Analysis on Transcontinental Migration of Nigerians to Europe: An Experiential Study

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**Keywords:** Media; Transcontinental; Migration; Nigeria and Europe.

**Abstract.** Across the globe, transcontinental migration has become a growing concern among scholars, economists, educationists, policy makers, media experts and legislators. Recently, Nigeria has been ranked to have the fifth largest number of illegal migrants in Europe. This study focused on media analysis of transcontinental migration of Nigerian migrants to Europe. This study was anchored on international migration theory, which stipulates socio-cultural issues and economic issues has led to migration. For this study, a mixed methods approach was adopted, which made use of content analysis and secondary data. The result indicated that more than 50% of news reports emphasized the issue of prostitution of Nigerian migrants, while almost 30% of media reports focused primarily on the suffering of Nigerians who tried to migrate to Europe. The primary economic and trade issues reported on both local and global media outlets were issues of poverty and unemployment. It was suggested that The Federal Government of Nigeria should invest heavily on securing our borders. The mass media especially the press should undertake more investigative report on illegal migration in order to expose those behind such act.

### 1. Introduction

At recent, Nigeria seems to be at the front-burner on migration issues in Africa. It has been said that Nigeria is the fifth largest number of immigrants, many of whom are illegal migrants, searching for better job opportunities or standard of living <sup>[4, 5, 8]</sup>. Several media reports show that 'Nigeria has the highest number of migrants flow within the ECOWAS sub-region'. Still in 2015; it was also reported that 'about 7,436 Nigerians illegally crossed the European borders' <sup>[13, 14]</sup>. The issue of migration has not only been emphasized by media enthusiasts and politicians but also scholars who have stepped out to alarm the public of the image of a rising tide of poverty-driven Nigerian emigration. For instance, Myers argued that the current flow of 'environmental refugees' from Nigeria to Europe 'will surely come to be regarded as a trickle when compared with the floods that will ensue in decades ahead'. This feeds into more general ideas conveyed by scholars such as that we are facing a veritable South–North 'exodus' driven by poverty and income gaps, which threatens to spin out of control unless rights of immigrants are curtailed.

Interestingly, there have been various qualitative and quantitative studies on issue of transcontinental migrants from Africa to Europe. Some scholars have focused on social-economic implications of illegal migration of African into Europe <sup>[1, 2, 13]</sup>. Another stream of research is based on surveys and statistics on African migrants in Europe <sup>[12, 14]</sup>. Many scholars have analysed the issue of African migrants in Europe in terms of international policies and law <sup>[15, 16, 17]</sup>. However, there is paucity of research investigations on media analysis on transcontinental migrants from Nigeria to Europe as it affects the socio-cultural and economic life. Thus, the need to generate

empirical evidences on the rise and fall of media report on the issue is critical, considering the fact that the dramatic increase of Nigerian migrants in Europe is alarming.

This study, therefore, examined media reports on the issue of transcontinental migrants from Nigeria to Europe. Furthermore, the study provided a theoretical and conceptual framework in tackling the issue of transcontinental migrants from Nigeria to Europe.

#### *Research questions*

1. What are the predominant media reports of socio-cultural issues on migration of Nigerians into Europe?
2. What are the predominant media reports of economic and trade issues on migration of Nigerians into Europe?

## **2. Theoretical framework**

For this research, international migration theory served as an anchor to understand how economic migration has affected the Nigerian economy. This study placed emphasis on Macro theories, which explains the factors, events and happens that eventual lead to migration, such factors are known as the “push and the “pull” factors. The ‘Push’ factor: It explains the reason and situation surrounding people who leave their country to another for reasons such as: poverty, ill health, high unemployment rate in that nation, loss of job, corruption (corrupt leaders), political and religious persecution (e.g. in Nigeria the Boko haram issue and forcing Christians to convert to Islam), natural disasters, revolution, recession (e.g. the current economic recession in Nigeria), limited supply of land and fight for land by citizens (e.g. in Nigeria citizens from the same lineage fight over land and such happens often). In summary, the push factor of migration happens when people want to improve the quality of their lives. They include professionals and non-professionals like teachers, doctors, nurses, engineers, accountants, mechanics, carpenters, electricians etc. such people may migrate because they are not being paid well and believe that first world nations like Europe offer better opportunities.

The ‘Pull’ Factors: pull factors are situations that attract people to a better nations because of the benefits they will have and a desire to become a citizen of such nations e.g. European nations. Examples of such reasons are: job opportunities, freedom of speech and religion (e.g. in Nigeria there is a low level of freedom of speech and religion, the journalists are not truly free to operate and a professional journalist would desire to go aboard to practice journalism where there would be no restriction), for better education. The pull factor consists of the easiness and accessibility to get international passport and good employment opportunities in the country the person intends to migrate to.

## **3. Methods and materials**

A mixed methods approach (content analysis and secondary data) was employed in the study. Content analysis was used in this study to examine the content of the selected local newspapers and global news video. For the global news videos, British Broadcasting Corporation (BBC), Ajazeera and China Cable Television (CCTV)) were selected for analysis. This study employed secondary data for the empirical and descriptive analysis:

#### *Sampling technique*

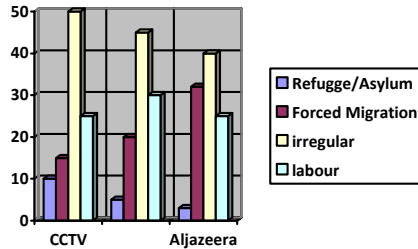
This study analyzed ten news video contents from British Broadcasting Corporation (BBC), Ajazeera and China Cable Television (CCTV) that were uploaded on YouTube. These news videos are three BBC news video content (6<sup>th</sup> May, 2014, 6<sup>th</sup> June, 2015, 31<sup>st</sup> July, 2015), ; three Al-Jazeera news video content (6<sup>th</sup> June, 2015, 26<sup>th</sup> August, 2016 ), three NTA news video content ( 26<sup>th</sup> August, 2016 , 10<sup>th</sup> May, 2016 and 31<sup>st</sup> July, 2015). Also, this study analyzed three national newspapers. These are *The Guardian*, *Vanguard* and *The Punch*. These local newspapers were selected because of popularity and readership rating. Importantly, the timeline for this study was March to September 2016.



#### 4. Results and discussion

The purpose of this study is to report on how the media (using Print and broadcast media) has reported Nigerians migration to Europe. From this research, it was discovered that the media gave more priority to reporting news on Nigerians illegal migration to Europe rather than the legal means.

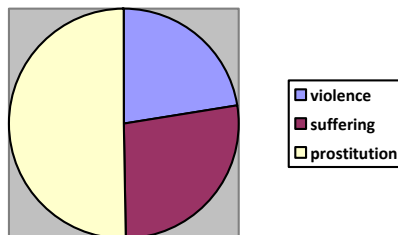
##### 4.1 Media reports on types of migration



From analysis of TV news videos, a significant number of reports were framed on irregular migration of Nigerian to Europe, while few reports were framed on issue of refugees or asylum. The issue of forced migration was given predominant attention by BBC and Ajazeera. Most local newspapers were primarily framed on issues of labor and forced migrations.

##### 4.2 Socio-cultural issues

Several socio-cultural issues of illegal migration were discussed in this section. Most of the local newspapers in Nigeria and global news outlets reported three predominant socio-cultural issues on migration of Nigerians to Europe. These issues are prostitution, suffering and violence. More than 50% of news reports emphasized the issue of prostitution of Nigerian migrants, while almost 30% of media reports focused primarily on the suffering of Nigerians who tried to migrate to Europe.



**a. Violence:** A majority of BBC report show that most Nigerian migrants that use road transport experience violence on their way to Europe, because they have to pass through other countries before reaching European countries. A good example of violence that immigrants face in Europe was a case reported by *The Guardian Newspaper* (27<sup>th</sup> August, 2016), about Godsent Osanyande, who is one of the returnees that had a gunshot wounds. He has been living in Libya for the past five years, where he had gone in search of greener pastures. Sitting in one of the ambulances parked close to the aircraft, Osanyande said that the wound was the aftermath of a scuffle with his landlord, an Arab, over rent. He told reporters that his landlord came some months ago, saying times were hard and he needed a one-year rent from the Edo-born Osanyande. Unable to meet the demand, arguments ensued, only for his landlord to later show up with a pistol and shot at him. This is a typical ordeal experienced by the Nigerian immigrant in a foreign country.

**b. Suffering:** From the news videos analyzed, most Nigerians experience hunger and starvation on their way to European countries and even when they arrive at their destination most especially when the use road transportation or ship transportation as a means. As a result of this experience, some of them don't reach their final destination. From local newspapers analysed, it was discovered that most immigrants in Europe suffer from starvation, some spend weeks without getting food to eat.

**c. Prostitution:** From one of the news videos analysed, it reported a young Nigerian woman named Naomi Benjamin who was offered a lucrative job as a nanny in Europe by a man, but little did she know that it was an invitation into the world of prostitution. Most Nigerians that go aboard most especially Europe, go into prostitution as a profession because they were either deceived or they had no choice but to align in order to make a living. Most cases of prostitution are not fully reported by the media as it should.

#### *Economic and trade Issues*

Most media reports identified some economic issues that had triggered the migration of Nigerians to Europe. The primary economic and trade issues reported on both local and global media outlets were issues of poverty and unemployment

**a. Poverty:** Poverty is one of the key challenges Nigeria is facing. Most youths that migrate to other countries move as a result of the unfavourable recession in the nation. Poverty is one of the push factors of migration, poverty causes a lot of issues starting from hunger to stealing then killing and then death. 90% of the newspapers and video's I analyzed, itemized povety as the major reason why citizens leave their nation to another in search of greener pasture.

The risk involved in illegal migration is very high and it is based on the survival of the fittest. CCTV News 25<sup>th</sup> August 2015 interviewed a Nigerian returnee migrant named Victor Davids who spoke on the untold hardship people experience there. He said that following the Mediterranean Sea route is very risky and survival is 10%, succeeding in the immigration country is also 10% and dying on the way to Europe is 80%.. The report by The Sun newspaper on the 24<sup>th</sup> March, 2016 showed how some migrants died because they didn't know how to swim. They were all in the voyage, full of expectation and high hopes of survival in Europe. Suddenly the voyage had a crack and then water started entering the boat. The water became so much and there was no rescue team around so only those that knew how to swim survival while those who couldn't got drown and died.

**b. Unemployment:** The second most important reason why people migrate is to search for job or to search for a better jobs. Some analyst said that Nigeria has one of the highest unemployment rates in the world with 50% unemployment amongst Youths. From the result, Youths were deceived that aboard had better jobs and easy access to employment. Whereas it is not so, because irrespective of the society, it's important for youths to create they type of job they desire by venturing into entrepreneurial activities. On BBC News (6<sup>th</sup> May 2014) showed some Nigerian migrants' ordeal in the Sahara. The immigrants left their country to search for a better life but the irony is that the little money the saved, they used all to cater for themselves

According to ILO (2004) migration has absorbed a considerable number of young people entering labour markets of the advanced countries, while also generating remittances to the sending countries. As presented in Fig. 1 and the cross-border migration have partially reduced the pressure on the labour market in this country. Presently, there is a significant number of unemployed young graduates in Nigeria, and the situation is not getting better, which is likely to push them to emigrate. Nigerian emigrants are not willing to return home, arguably, the prevailing conditions at home is not favourable for them to return.

Country	2008	2009	2010	2011	2012
India	49.98	49.47	54.04	63.01	69.35
China	47.49	47.93	52.27	61.37	60.25
Philippines	18.63	19.77	21.43	23.07	24.45
Mexico	26.04	22.08	22.08	23.59	23.22
Nigeria	19.21	18.37	19.82	20.62	20.57

Fig.1 Cross-Border Migration (Source: UNCTADSTAT, 2013)

The facts and data show an implication that an increase in the level of unemployment, lack of infrastructural facilities and technological lapses will be the deciding factor in Nigerians seeking for greener pastures in other countries for employment and economic benefits.

In countries like Nigeria, where unemployment is high (23.9%) in 2011, high rate of poverty (71.5%) in 2011 (National Bureau of Statistics, 2011) and high population growth rate (about 2.5%) (UN-DESA, 2013), with a 45,000 migration flow as seen in fig 6, some citizens would migrate to other countries if they had the opportunity. Efforts are made by the government of Nigeria and other stakeholders like the agencies of the United Nations, United States and the European Union to help reduce cross-border migration to address the exit of both skilled labour force and to stop human trafficking in all forms. However, these efforts might not yield tangible results if the reasons for migration are not well addressed.

## 5. Conclusion

The movement of humans from one geographical location to another cannot be prevented but can be done in the right way rather than using illegal means to migrate. It is recommended that border management should be strengthened in respect to infrastructure, thorough inspection of Nigerian travelers, technology and training of Staff. Effective border management is very important to a good national migration system. The Federal Government of Nigeria should invest heavily on securing our borders. The mass media especially the press should undertake more investigative report on illegal migration in order to expose those behind such act.

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## Television News Coverage and Xenophobic Attacks on Foreign Africans in South Africa: A Content Analysis of Youtube Videos

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**Keywords:** Television; News; Xenophobic attacks; Foreign Africans and Youtube.

**Abstract.** The issue of xenophobic attacks on foreign Africans in South Africa has generated debate and discussion among media experts, scholars and policy analysts across the globe. The danger and socio-cultural implications of this issue have triggered an increase of reports and commentaries on national and international news television outlets in the international community. This study examines television news coverage of xenophobic attacks in South Africa, using Youtube videos as examples. The method adopted was content analysis and 9 news videos of 3 selected television stations were analyzed; British Broadcasting Corporation (BBC), South African Broadcasting Corporation (SABC) and ENCA. Also, four research questions were raised and adequately answered in this study. From the findings of the study, four predominant themes were identified and discussed as it affects current realities. It was recommended that sufficient attention should be given to matters of xenophobic attacks on foreign Africans by the South African press. Furthermore, the television news media should adequately utilize its developmental theory/function for the positive change and development in South Africa.

### 1. Introduction

Across the globe, the xenophobic attacks on foreign Africans in South Africa have become a perennial issue. The recent xenophobic attack on Foreign African in South Africa, which began from early March to late May 2015, has raised debate and discussion among scholars, media experts, policy makers, government officials and international observers. According to media reports, the recent xenophobic attacks were triggered by controversial statements of the King of the Zulus, who has unbridled influence over 1.4 million Zulus in South Africa<sup>[11]</sup>.

In retrospect, there was another drastic xenophobic attack in May 2008 on foreign Africans in South Africa. Scholars observed that the xenophobic attacks in 2008 resulted in a major humanitarian, political and ethical crisis in South Africa. Numerous African immigrants and suspected South Africans were killed in the violence and hundreds were severely assaulted<sup>[10, 11, 12]</sup>. For example, it was observed that “attitudes of intolerance and violence are however not manifesting themselves against all foreigners but, rather, xenophobia in this country has a visible continuity with the past, in that intolerance is targeted exclusively at blacks from other African countries. What characterizes this phenomenon as new, however, is that although attitudes of intolerance are pervasive across all sections of South African citizenry, most incidents of violent attacks have been carried out by black South Africans”.

From a broad-spectrum perspective, the concept of xenophobia can be grouped into three hypotheses, namely, 'the scapegoating hypothesis', 'the isolation hypothesis', and 'the biocultural hypothesis'<sup>[4, 5]</sup>. The scapegoating hypothesis of xenophobia states that the foreign African is used

as a scapegoat, someone to blame for social ills and personal frustrations, while the isolation hypothesis suggests that suspicion and hostility towards foreign Africans in South Africa exists due to *international* isolation. The hypothesis also explains contemporary xenophobia by recourse to *internal* isolation, the isolation of South Africans from South Africans, as a consequence of apartheid. The biocultural hypothesis states that Africans are victims of xenophobic attacks due to visible difference in terms of physical biological factors and cultural differences exhibited by African foreigners in the country. For example, Nigerians and Congolese, 'are easily identifiable because of their physical features, their clothing style and their inability to speak one of the indigenous languages in South Africa' [4, 5].

Importantly, there have been various studies on xenophobic attacks in South Africa. Some scholars have focused on historical development of xenophobic attacks in South Africa [4, 5, 6, 7]. Another stream of research is based on surveys and statistics of xenophobic attacks in South Africa [10, 11]. Many scholars have analysed the issue of xenophobic attacks in South Africa in terms of economic implications [8, 12]. However, there is paucity of research investigations on television news coverage of xenophobic attacks in South Africa and its socio-cultural implications to development. Thus, the need to generate empirical evidence on current information on television news coverage of xenophobic attacks in South Africa is critical. This would help in determining the need for continuing mass media and education programmes that could promote racial tolerance as well as improve the knowledge of security issues in South Africa. This study, therefore, examines television news coverage of xenophobic attacks in South Africa, using Youtube videos as examples.

#### *Research Questions*

1. What is the Users' level of prominence given to news media report on Xenophobic attacks?
2. What is the direction of news media report on Xenophobic attacks?
3. What are the predominant themes reported by the news media on Xenophobic attacks?
4. What are the recurring comments of Users on Xenophobic attacks on Youtube ?

## **2. Method and materials**

The method used for data collection was content analysis. Importantly, in communication research, content analysis is regarded a formal system which is systematic and objective for extracting all forms of communication contents [9, 14]. Content analysis is a research technique for the objective systematic description of manifest content of communication. Similarly, Content analysis as a method of studying and analyzing communication in a systematic, objective and quantitative manner for the purpose of measuring variables [1, 2, 14]. Therefore, content analysis was used in this study as a tool to extract data from the content of the selected newspapers. This was done by analyzing the frequency and prominence or importance as well as direction/slant of news on xenophobic attacks in South Africa as content categories. More so, the unit of measurement and news analysis includes features, news stories, editorials, special reports and sources of news etc

#### *Sample size*

In the context of this study, there is no doubt that it is impracticable to study all the television stations considering the time frame, constraint and most especially unavailability of some of the members of the population to the researcher was another reason. Therefore, only three (3) television stations were selected for the study. They are namely British Broadcasting Corporation (BBC), South African Broadcasting Corporation (SABC) and ENCA. By statistical calculation, a news video was selected per month for each of the television under study. Using purposive sampling, the researchers selected the top news videos in terms of viewership on Youtube per month, and then multiplied by three months. Thus, a sample size of 9 news videos was used for the study.

## **3. Results**

The data analysis of this research work was based on the 9 TV news items content analyzed. These were the various TV news reports on xenophobic attacks as reported by British Broadcasting

Corporation (BBC), South African Broadcasting Corporation (SABC) and ENCA between March and May 2015. In addition, the data was analyzed with the use of simple percentage and frequency tables. This study in general terms was aimed to find out the attention given by the TV News report to xenophobia issues in South Africa.

Research question analysis

### 3.1 Research question one: what is the Users' level of prominence given to news media report on Xenophobic attacks on Youtube?

Tab.1 Distribution of Issues based on TV report

s/n	News title	News source	Number of views	Number of comments
1	South Africa: Xenophobic violence against foreigners spreads - BBC News	BBC	280,965	723
2	South Africa Xenophobia: "Foreigners are taking our jobs" - BBC New	BBC	45170	223
3	South Africa: Xenophobic attack captured on camera - BBC News	BBC	22133	60
4	Africa 360 - Xenophobia in South Africa: myth or reality?	ENCA	52656	428
5	Xenophobic violence may cause revenge attacks - Sisulu	ENCA	192,732	249
6	Xenophobic violence not discouraging refugees	ENCA	1718	2
7	Mugabe expressed shock and disgust at ongoing xenophobic attacks	SABC	24,753	56
8	The spate of looting of foreign national's shops in Isipingo: Nomagugu Mlawe	SABC	35,444	95
9	African leaders condemn on going xenophobic attacks in SA	SABC	3,803	0

Tab.2 Users' Level of Prominence to TV reports

S/n	TV News Station	Users' Viewership		Users' Comments	
		Frequency	%	Frequency	%
1	BBC	348,268	52.8%	1006	54.8%
2	SABC	64,000	9.7%	151	8.2%
3	ENCA	247,106	37.5%	679	37%
4	Total	659,374	100%	1836	100

From Table 1 and 2, more than 52% of YouTube users viewed news reports on xenophobic attacks on foreign Africans on BBC, which also had 54.8% Users' comments on video. This was followed by ENCA, which had 37.5% viewership and 37% of Users commented on news video. Thus, Youtube users' gave high prominence viewership and engagement to BBC, which is an international news media organization. In essence, BBC had the highest percentage of viewership and comments on Xenophobic attacks

### 3.2 Research question two: what is the direction of news media report on Xenophobic attacks?

Tab.3 Direction of News report

Slant	Frequency	Percent
Favourable	1	11.1%
Neutral	2	22.2%

Unfavourable	6	66.7%
Total	9	100%

Tab.4 Direction of News report according to Media Outlet

Slant	BBC		ENCA		SABC		Total	
	Frequency	%	Frequency	%	Frequency	%	Frequency	%
Favourable	0	0	0	0	1	11.1	1	11.1%
Neutral	0	0	1	11.1	1	11.1	2	22.2%
Unfavourable	3	33.3	2	22.2	1	11.1	6	66.7%
Total	3		3		3		9	100%

From Table 3, more than 65% of the news reports on the xenophobic attack on foreign Africans were unfavorable, only 11.1% of the reports on the xenophobic attack on foreign Africans were favourable. From table 4, SABC was the only media outfit gave a favourable report on report on the xenophobic attack on foreign Africans. On the ground of neutrality, both ENCA and SABC gave reports on xenophobic attack on foreign Africans. Thus, from table 3 and 4, the direction of news report on the xenophobic attack on foreign Africans was primarily unfavourable.

### 3.3 Research question three: what are the predominant themes reported by the news media on Xenophobic attacks?

From the findings of this study, four major themes were reported by British Broadcasting Corporation (BBC), South African Broadcasting Corporation (SABC) and ENCA between March and May 2015. These themes were:

- 1. African countries disapproval of Xenophobic attacks-** Many African leaders condemned the attacks on Foreign Africans. Most African leaders noted that most African nations have been working and cooperating with South Africa; these xenophobic attacks would hamper relationship and development in African countries. For example, President Mugabe of Zimbabwe vehemently opposed the xenophobic attacks of foreign Africans; admonished the South African government to strengthen internal security in the country.
- 2. Looting of properties and killing of Non-south African-** Most news television reported that properties of foreign Africans were looted in Durban and Johannesburg. Most properties looted belonged to Ethiopians and Somalis compared to other foreign Africans. However, it was later reported that the government sent police to provide security for the property. It was also reported that no fewer than five foreign African were killed in the first week of the xenophobic attacks. One major implication of xenophobic attacks on foreign Africans could be reprisal attacks on South African in other African countries. Some African countries like Nigeria warned South Africans that they are not immune to socio-economic attacks in other African countries. Some Nigerian threatened that they would stop patronizing and hinder over the operations of over 100 companies in Nigeria.
- 3. Need for orientation of young South Africans-** the need to re-orient young South Africans about African solidarity; how foreign Africans have contributed to the end of apartheid and the development of the economy of South Africa. Media reports emphasize the need for young South Africans to be educated on national solidarity at schools and other institutions.
- 4. Lack of political will of SA government to tackle Xenophobic attacks.** Media reports also portrayed the viewpoints of South Africans who believed that the government has been reluctant to acknowledge xenophobic attacks on foreign Africans; since the last xenophobic attacks in 2008, there had been no arrest or orientation programme to tackle xenophobic attacks. Media reports stressed the need for the government to pay attention to xenophobic attack on foreign Africans because it seems that there is lack of political will to tackle xenophobic attacks. These reports stressed the need for deterrents against xenophobic



behavior, which must be spearheaded by the criminal and the justice system in South Africa. Furthermore, the government must make explicit regulations and laws that guide foreign Africans to legally integrate in the business community in South Africa.

### **3.4 Research question four: what are the recurring comments of users on TV news report of Xenophobic attacks on Youtube?**

For this study, there were 1836 comments made from Youtube Users that watched news videos of xenophobic attacks. Importantly, three major recurring comments were identified for this study. These three recurring comments are:

#### **3.4.1 Zulus responsible for Xenophobic attacks**

Users' comments on xenophobic attacks against foreign Africans reveal that many South Africans do not support or encourage racial intolerance. However, a significant ethnic group, which represents the Zulu people in South Africa are the bane of racial intolerance in South Africa. According to a majority of comments, the Zulus were responsible for the xenophobic attacks on foreign Africa. Importantly, the Zulu tribe is one of the dominant ethnic groups in South Africa, which accounts for 1.4 million citizens in South Africa. Most comments on Youtube accused the Zulus for the recent xenophobic attacks on foreign Africans. Some of these comments can be read below:

- a. *"How can immigrants who are self employed take anyone's jobs. They use their ingenuity to find a need and fulfil it. The problem is these so called Zulus don't have the fortitude and power of will to do what the immigrants have done and pull themselves out of their predicament, so they attack the more resourceful immigrants out of jealousy.i bet you one of these Zulus have the skills needed to do the jobs of the immigrants, but in South Africa that doesn't matter as affirmative action allows unskilled blacks to fill roles they are not qualified for anyway. Affirmative action is nothing more than saying you are qualified for a job simply because of skin color, no wonder South Africa is in the shit when their government endorses that nonsense"- Adam fisher.*
- b. *"Lindiwe Zulu you and your king of beast Zulu are hyena hungry for innocent Africans who supported and liberated you from the apartheid cage. Now you show that you us your real face that is beast in human skin. Why nor suck the blood of whites not the poor black Africans who liberated you and you beast zulu king from the cage of apartheid zoo. Shame, hope to see you soon back into your cage!!!!!!!!!!!!!!!!!!!!!!"- AbdiSalam AfricanDiamond.*
- c. *"Aparthied was so good, very good system that kept these savages at bay...Where are the whites that ruled Africa, please come back to your subjects... Kikuyu savages maim and murder Kenyans in broad day light.. In South Africa ,Zulus are burning people alive.. Where were these animals when whites were in power. They were peace full and obedient or in cages"- Adam Eeleye.*

#### **3.4.2 Disapproval of killing and violence against only foreign Africans**

A majority of users' comments elucidated that they disapproved the xenophobic attacks targeted to foreign Africans in South Africa. Many users commented that violence against foreign Africans was rooted in racial intolerance, which has hampered mutual coexistence in most communities in South Africa. Many users argued that they are many immigrants in South Africa, but it was only foreign Africans that are singled out to be attacked. Some of these comments can be read below:

- a. *"It's not violence against foreigners, its violence against foreign Africans which is very ironic. Africa stood with South Africa in its struggle against apartheid, and now some black South Africans have created a new apartheid against other Africans, but the principle is the same, segregation and prejudice, D. F. Malan would be very proud of his new black champions of his legacy"- Denis Mutabazi.*

- b. *"Why do you try to stir up hate instead of trying to calm the trouble. I am white but I hated every second of the senseless attacks on foreigners by South African blacks . Even though I understand my peoples anger at the foreigners, I feel that the matter could have been dealt with forcibly but without killing . Please try not to create more hate and anger between white and black South Africans if you want to live in South Africa"- Abraham Eshetu.*
- c. *"Some proof.... Do u see a single white in any of these videos??? And whites are very common in South Africa... When someone from America comes into my shop do i burn him??? Noooooo because we are civilized... I know some black people... But im sorry i believe there is a reason why apartheid existed... Because of what u see in these videos... U dont just kill whites u kill each other like savages"- rune10.*
- d. *This is just evil. Burning your African brothers and sisters alive because they got a better life than you. Did it ever occur to you the reason you not getting a job is because you fucking lazy. Can't wait for the white south African to start killing them but this time you will not get nowhere to run u evil people- aicha sagbeh.*

#### 3.4.3 Contribution of foreign Africans to South African economy and development

A majority of users' comments elucidated that xenophobic attacks targeted on foreign Africans in South Africa was not justified because foreign Africans contributed significantly to the eradication of Apartheid in South Africa. Some users argued that foreign Africans have been contributing significantly to the economy of South Africa in terms of trade and knowledge transfer. These users complained that xenophobic attacks targeted on foreign Africans in South Africa can be seen as an act of ingratitude and intolerance. Some of these comments can be read below:

- a. *This is how they pay us back. We helped them to get Independents. We welcome them in our Countries and gave them a places to stay with free educations. We fought for them until they become free Nation with freedom.. But today they have forget where they came from. They have the power to chased and killed there fellows Africans. They have the power to say all Africans should go back? Oh my God- Kerry Johnson.*
- b. *There are lots of foreign people (black & white) that have invested & work in SA, they have created jobs and paid tax into SA's economy, are the black people going to protest about them, carry on and see all the foreign company's and their staff pack up and leave and you will have another Zimbabwe to live in.- Sue F.*
- c. *Do you know president zuma lived in mozambique 10 years illegally. President Tuto. Do you know how many Mozambicans died because of South Africa people. Did you know president samora machel died helping South Africa. You people one day will see that you are very idiote and choose your black neighbors to kill- Osvaldo Cordeiro Checo.*
- d. *I am African, so how do you go kill someone who is African as well ?? I cant seem to understand, why kill the peace? S.A is a great country, i don't get how someone can do this to fellow African, we are suppose to unite as one ? Killing people for what ? I have never felt so ashamed pf south Africa, you kill foreigners from the same continent as you. Do you know that those foreigners are what makes a country grow ????????- Lorraine Alberto.*

## 4. Conclusion

Importantly, the problem of xenophobia in South Africa can be interlinked to discrimination against foreigners, which takes place around the world, especially in countries experiencing political or economic upheaval. The rise of sentiments of racial intolerance against foreigners in South African society has occurred for a very long time. The television news media as a social institution is expected to report all issues that affect racial intolerance and human right advancement in any modern society. This becomes necessary because the fundamental right of individuals is of equal importance to the sustainable development of any nation. As observed in the study, it would be necessary for the television news media to give equal attention to the problem of xenophobia in

South Africa. It was likewise observed that issues on xenophobic attacks on foreign Africans did not receive a favorable coverage by the TV news media. It is recommended that the television news media should make significant effort to set agenda or make racial intolerance more important through information dissemination and packaging of reports. In essence, sufficient attention should be given to matters of xenophobic attacks on foreign Africans by the South African press. Furthermore, the television news media should adequately utilize its developmental theory/function for the positive change and development in South Africa.

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## Preventing Victimization and Modern Slavery of Roma Migrants in UK: Issues and Possible Solutions from Documentary Investigations

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**Abstract.** Recent studies indicate that the United Kingdom has the largest number Roma migrants in Western Europe. Most of these migrants reside in five major areas in England, which are Yorkshire, Humber, London, the North West and the Midlands. Media organizations and human rights groups have recently issued warnings over the increase of victimization and modern slavery actions against Roma migrants in UK. This study examined the issues of victimization and modern slavery actions against Roma migrants in UK as well as the possible solutions suggested by media outlets and human right groups, using documentaries as examples. The method adopted was content analysis and two documentaries of Aljazeera were used. Also, three research questions were raised and adequately answered in this study. From the findings of the study, two predominant areas of modern slavery actions were forced labor and prostitution, which are interlinked with human trafficking. The result also indicates that ethnic marginalization, suffering and psychological violence were the predominant areas of victimization. One of the possible solutions identified by a human right group was the need for a value-reorientation campaign to erase the misconceptions and local tensions about Roma migrants as well as promote social integration. It was recommended that the media in UK should serve as agents to promote racial tolerance and social integration for Roma migrants

### 1. Introduction

Roma migrants are the largest ethnic minority in Eastern and Western Europe. Studies show that more than 12 millions Roma live in Eastern Europe <sup>[3, 4, 5, 7]</sup>. In most cases, a great number of these individuals live in squalor and they are usually subjected to victimization and discrimination within the European communities. According to the Telegraph, "Across Europe, Spain has the largest Roma population, 750,000, followed by France, 400,000. With a population of around 12 million Roma are the largest ethnic minorities in Europe, but often find themselves living in extreme poverty and subjected to discrimination" <sup>[9]</sup>. Thus, Roma migrants are one of the disadvantaged ethnic group in Europe in terms of discrimination and victimization

In the UK, recent studies indicate a significant increase of Roma migrants in major areas of England <sup>[7]</sup>. Most of these migrants reside in five major areas in England, which are Yorkshire, Humber, London, the North West and the Midlands. According to the Telegraph, "The majority of the population, 183,000 are believed to live in England. Yorkshire and Humber, London, the North West and the Midlands have been identified as areas where there are large number of Roma living" <sup>[9]</sup>. In the same vein, it has been observed that "In 2011 it declared 'relatively few Roma citizens' lived in the UK. But the numbers have been growing steadily for more than a decade, and now stand at about 200,000" <sup>[8]</sup>. According to a recent University of Salford study, Britain has one of the

biggest Roma populations in western Europe. Ingmire says they have been ostracised, adding that her group has yet to be consulted on any official policy on ethnic minorities”

Media organisations and human rights groups have recently issued warnings over the increase of victimization and modern slavery actions against Roma migrants in UK. According to the financial newspaper, “Exploitation of migrants’ workers by unscrupulous UK employees is on the increase. Such modern slavery is being driven by rising demand for cheap products and the lure of the British economy to those unable to find jobs in their home countries”<sup>[5]</sup>. Thus, there is a significant increase of modern slavery actions against migrants in UK. This study examined the issues of victimization and modern slavery actions against Roma migrants in UK as well as the possible solutions suggested by media outlets and human right groups, using documentaries as examples

#### *Objectives of the Study*

1. To assess the predominant areas of victimization of Roma migrants
2. To determine the predominant areas of modern slavery actions against Roma migrants
3. To identify the possible solutions to address victimizations and modern slavery actions

#### *Research questions*

1. What are the predominant areas of victimization of Roma migrants?
2. What are the predominant areas of modern slavery actions?
3. What are the possible solutions to address victimizations and modern slavery actions against Roma migrants?

## **2. Theoretical framework**

For the purpose of theoretical backup, the development media theory was critically examined. The development media theory is a normative theory which means it focuses on how the media within a given society function against how they actually function. This theory postulates that the media should compromise absolute liberty to allow for co-operative work to be done between itself and the government for the purpose of developing the nation or community in which it is situated economically, socially and politically. The theory focuses on the promotion of industry, national identity and collaborations between the nations in which it is being implemented and its neighbours. In other words, the theory’s major aim is ensuring that absolute development takes place within the society<sup>[2]</sup>.

As it relates to this study, television is a medium of mass communication and one of the most effective in bringing about behavioral and cultural change. With the platform created by development media theory, all programmes produced by television producers will have to be geared towards promoting racial tolerance and anti-slavery actions on migrants. Furthermore, with the use of undercover reporting, issues such as discrimination and victimizations can be reported in its ‘real’ form

## **3. Television and racial tolerance**

Scholars observed that “development may be seen as the sum total or the outcome of efforts made by the people to improve on their conditions of living.”<sup>[2, 10]</sup>. This definition suggests that development is only a result of the efforts or deliberate actions put in place by the people in question to actualize this occurrence, it is in no way accidental and is not limited to only materialistic development<sup>[2]</sup>. For it not to be limited to only materialistic development alone he also notes further that “people need to be informed; they need information on the possibilities that exist for improving on their lots and how to effect the necessary changes”<sup>[2]</sup>.

The information factor cannot be over emphasized as it is the information that people pay attention to, receive and remember then work upon or act upon that leads to actual development. When information is received and applied the positive or negative results of acting upon that information determine whether the individual in question will uphold the newly held behavior

pattern or discard it. In other words it is the inculcation of information that ultimately determines the development of a people (Mcquail, 2005).

Television, as instruments of mass communication, are the avenues through which information is communicated to the general public at the same time. Television messages are so influential that they in turn influence the thought processes of the receivers. They could influence the value systems of the audience positively or negatively, depending on the intent of the mass communicated message. Journalists have clearly been defined as the ‘watch-dogs’ of society. Journalists, more than any other professionals, have (or are supposed to have) the most exposure to the world, ideas, and general human tendencies. This is a sure way through which the media could speak to the people and the people, in turn, can express their true feelings to the media.

Importantly, Aljazeera and other private and global broadcast stations have surveillance role in respect to information and news, the media being instrument to development are expected to inform and educate members of the society on specific areas of development such as security, racial tolerance, and ethnicity. The reason for media reportage on ethnicity and racial tolerance in developed societies, such as England, is to tackle issues of victimization and modern slavery actions in the country. It is this type of thinking that made scholars to assert that “television can serve positive functions. Frequent positive portrayals of minority group members interacting with majority group members in a friendly and cooperative manner can send the message that minority group members are just as important and should be regarded as equals” <sup>[10]</sup>. Thus, racism is a perennial issue in any modern society. Nevertheless, television can play a crucial role to help shape positive racial attitudes in countries, such as Europe. Furthermore, television stations can help portray anti-racial images and provide a platform for contributions and solutions towards tackling issues of hostility, rejection and denial among individuals in Europe

#### **4. Method of study**

The qualitative content analysis method was adopted to answer the research questions raised in this study. The qualitative content analysis method examined the recurrent areas of victimization and modern slavery actions as well as the possible solutions to address these issues. Thus, qualitative content analysis method was used to provide a thematic analysis of victimization and modern slavery actions against Roma migrants. Two documentaries produced by Ajazeera were used to achieve the stated objectives for the study. These two documentaries were centered on victimization and modern slavery in UK.

#### **5. Result**

This study analyzed two documentaries produced by Ajazeera, which were titled ‘Britian’s modern slave trade part 1 and 2. These documentaries centered on Aljazeera’s investigative unit that revealed the true scale of modern slavery in suburban Britain. It was also reported that the government estimates that there are around 13,000 modern slaves in Britain with the largest number from Romania, Albania, Nigeria, and Vietnam and from Britain itself.

##### **5.1 RQ 1: what are the predominant areas of victimization of Roma migrants?**

From the extracts of the two documentaries, results indicate that ethnic marginalization, suffering and psychological violence were the predominant areas of victimization.

- a. Ethnic marginalization: Roma migrants are one of the largest migrants in the UK. This ethnic group is seen as a disadvantaged group that is not accepted in any European countries. The Roma Migrants are ignored, neglected and rejected in their home Country; this has led to an exodus of Roma migrants from Eastern Europe to Central and Western Europe. Interestingly, a predominant number of these Roma migrants were from Romania. The first documentary reported as follows: “Across the world more people are on the move than ever before, they are driven out of their countries by war and persecution or they leave willingly hungry for new

life in the wealthy west but mass migration has also led to a new surge in the slave trade. Like the human cargo of two centuries ago many victims of modern slavery are trafficked forcibly to the UK others are duped into going to Britain with the promise of jobs that don't exist".

- b. Suffering and poor welfare: from the result, most Roma migrants suffer from hardship, squalor and poor conditions. A significant number of these migrants are aware of the work they will do in UK and they are exploited in the area of cheap labour. Many of these migrants suffer from poor wages and conditions. From excerpts from the second documentary, it indicated several cases of labour exploitation. For example, "Britain has also seen a huge rise in a number of exploited people walking in plain sights on the high streets of towns and cities. At this carwash, prices start from just 6 pounds around 10 US dollars, but how can it be so cheap" Claudio, who is a Roma migrant, says he came from Romania and worked at the carwash for 5 months. He agreed that Ajazeera secretly film the workers conditions. He started with their accommodation, 10 free cabins where up to 6 people sleep in a very small room. Claudio noted "when it rains, it leaks everywhere. Everything is cracked. This window is the same as the others. There is mould everywhere. On top of it all, the sink doesn't even work. This one is more problematic, it doesn't even close. It's always open. In other words, we live in shit conditions. We pay 40 pounds per week for this, for this' Thus, several Roma migrants are victimized and exploited in the area of labour.
- c. Psychological violence: a significant number of Roma migrants are victims of psychological violence. From the results, Roma migrants are psychologically abused, threatened and tortured by their host or employers. A victim narrated his ordeal as thus" Unlike the slaves of the past, no one is physically shackled. Workers say that they are held by psychological chains; fear, poverty and desperation. Leaving is not easy. Those who risk it will spend what little money they have to escape".

## **5.2 RQ 2: what are the predominant areas of modern slavery actions against Roma migrants?**

From the findings of the study, two predominant areas of modern slavery actions were forced labor and prostitution, which are interlinked with human trafficking. In the UK, human trafficking is a perennial issue among its citizenry. The issue of human trafficking was identified and discussed in the two documentaries. From the excerpts of the documentaries, it revealed how smugglers help migrants to travel to UK. A smuggler indicated that "I will take you the whole way to England for only 32,000 dollars. I will arrange for you to get to Russia. Then you take a car to Poland, Germany and then France. Once in France, I will pick you up to go to England. I assure you its really safe. I assure you won't have to walk at all. You just sit in the car and go directly there". Also, an airport staff in a UK airport noted "What we've seen in the past is young vulnerable looking girls maybe traveling with an older woman or a man who is controlling their passport and being quite dominating so we look at people's behaviour first of all and then if we've got any concerns we'd ask a few more questions about why they are coming into the UK".

### **5.2.1 Sex slave workers (Prostitution)**

A significant number of migrants from Romania are coerced to become sex slave workers for their host in UK. The results indicated the story of Anna who was deceived and forced to become a sex slave worker in UK. Anna explained "'I feel terrible when I think about it the days when I forced to sleep with clients to drink and take drugs with them. It began when a Romania man seduced her and took her to Italy. He said it was for a holiday but he planned to sell sex. I tried to refuse, he became very angry and hit me. Clients also paid to beat me as well. It was the beginning of 11 years as a sex slave, locked in dingy apartment and cheap hotel rooms". She was controlled by her ex-boyfriend, his brother and also by a woman she refers to only as the bad lady. "I wasn't paid any money because the bad lady used to keep all the cash. They thought I was their slave, making money for them making them happy". The result indicated that Anna comes from poor family in Western Romania. This is just a snippet of a thousand cases of forced prostitution



### 5.2.2 Forced Labour

A significant number of migrants from Romania are coerced into forced labour by their host in UK. Many of these migrants are deceived on the type of job to be done in UK. The results indicated the story of a victim, he said” People may be coming to this country voluntarily, they may be thinking that they are coming for a job only to find that that job isn’t what they thought it would be or that they are being kept in absolutely appalling situations or that they are not getting the salary that they were promised. They are no deductions for travel, for accommodation, for transit to work and all of that sort of thing and so they are being duped”.

### 5.3 RQ3: what are the possible solutions to address victimizations and modern slavery actions against Roma migrants?

From the result, there are three major possible solutions to addressing the victimization and modern slavery of Roma migrants in the UK?

1. Enlightenment of the Modern slavery Act: there is a need for the media and civic right societies to create the awareness and knowledge of the modern slavery act within and outside UK. From the documentaries, it revealed that “Parosha Chandran is a leading lawyer in the field of modern day slavery, who noted that the new slavery law changed the way that police treat the vulnerable”. He further said that “one of the good things about the modern slavery act is that it actually recognizes that there are victims of trafficking as opposed to being perpetrators of the crime; cannabis cultivation”.
2. The need for value reorientation campaign to promote racial tolerance: reorientation campaign to erase the misconceptions and local tensions about Roma migrants as well as promote social integration. It was recommended that the media in UK serve as agents to promote racial tolerance and social integration for Roma migrants
3. The need to reduce the demand for cheap labour: a possible solution identified in the documentaries was the need to reduce the demand of cheap products and labour. Thus, Britain’s great demand for cut price goods and services is fuelling that exploitation of Roma migrants. It is expected that European governments find a way to achieve a balance of cheap products and expensive products in the continent.

## 6. Conclusion

Undercover reporting can serve as a development approach in addressing several societal issues in any modern society. The media should apply the development media theory to address perennial issues that affect humanity. In the UK, the media should work hand-in-hand with government officials to unearth issues of victimization and modern slavery actions against Roma migrants from Romania. It is recommended that the UK media spearhead a value reorientation campaign to enlighten individuals about the Modern Slavery Act as well as racial tolerance in the European community.

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## Global News Coverage on Victimization and Challenges of Roma Migrants from Romania: An Experiential Study

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**Keywords:** Global coverage; News; Roma; Migrants; Romania.

**Abstract.** The issue of Roma migrants from Romania has generated debate and discussion among media experts, scholars and policy analysts across the globe. The socio-cultural implications of this issue have triggered an increase of reports and commentaries on international news television outlets across the globe. Interestingly, there have been various qualitative and quantitative studies on social mobility of migrants in Europe. However, there is paucity of research investigations on communication perspectives on the issue of victimization and challenges of Roma migrants from Romania. Thus, the need to generate empirical evidences on the rise and fall of media report on the experiences, motivations, and ambitions of Roma migrants from Romania is critical, considering the fact that the dramatic increase of Roma migrants in Western Europe is alarming. This study examined global news coverage on socio-cultural issues of Roma migrants from Romania, using Youtube videos as examples. Furthermore, this study examined the audience mindset on global news coverage of Roma migrants. The method adopted was content analysis and 12 news videos of three selected global TV outlets were analyzed; British Broadcasting Corporation (BBC), Cable News Network (CNN) and Aljazeera. The timeline adopted for the analysis was between June 2014 and March 2016 to achieve the objectives of the study. Also, four research questions were raised and adequately answered in this study. From the findings of the study, three predominant socio-cultural challenges affecting the Roma migrants were identified and discussed, which are ethnic marginalization, structural poverty and racial bias. It was recommended that non-government agencies and concerned bodies should work hand-in-hand to provide structures for skill acquisition and human capital inclusion. Furthermore, the EU should reinforce its benefit systems for Migrants as well as partner with media institutions to promote racial tolerance of Roma migrants among EU member states.

### 1. Introduction

Across the globe, the issue of Roma migrants from Romania has generated debate and discussion among media experts, scholars and policy analysts<sup>[1, 3, 9, 11]</sup>. The influx of Roma Migrants from East Europe to some countries in Western Europe has raised concerns and mixed reactions among individuals in the international community<sup>[1, 8, 9]</sup>. Several media reports reveal an exodus of Roma Migrants from Romania to UK, Germany, France, Sweden and Italy.

Scalars agree that Roma migrants are also known as Gypsies or travelers, which is a minority ethnic group in Eastern Europe. Scholars reasoned that “the term Gypsy originated from the mistaken assumption that Gypsies came from Egypt; the term Roma is similarly misdirecting to the extent it suggests Romanian origins. Roma encompass people belonging to both nomadic and non-nomadic communities—diverse in respect to language, religion, nationality, history, and culture—but understood to share a common ethnicity. The Roma emerged from India around 400 B.C. as a

tribe of nomadic musicians and entertainers, and they found their way into Europe in the thirteenth and fourteenth centuries, mainly as slaves” [2, 8, 4]. It is believed that, “The Roma -- who consider “gypsy” a pejorative -- are an ethnic minority that came from India to Europe more than 1,000 years ago and have endured enslavement, evictions, discrimination and the Holocaust. Of the more than 10 million across Europe, most have settled in Romania, Bulgaria and Hungary, where they tend to live on the fringes of society, often eking out a life of begging and odd jobs” [2].

In realm of media and communication studies, there have been several studies on the issue of Roma Migrants from Eastern Europe. A number of studies have examined the media representation of Roma Migrants in Europe [3, 4, 7], while a few studies have examined the economic and social factors that have triggered the increase of Roma Migrants into central and western Europe [5, 6]. A stream of researches have focused on the history and constitutional issues of Roma migrants in Europe [1, 9, 11]. However, there is paucity of research investigations on communication perspectives on the issue of victimization and challenges of Roma migrants from Romania. Thus, the need to generate empirical evidences on the rise and fall of media report on the experiences, motivations, and ambitions of Roma migrants from Romania is critical, considering the fact that the dramatic increase of Roma migrants in Western Europe is alarming

This study examined global news coverage on socio-cultural issues of Roma migrants from Romania, using Youtube videos as examples. Furthermore, this study examined the audience mindset on global news coverage of Roma migrants.

### **1.1 Research questions**

1. What is the Users’ level of prominence given to news media report on Roma Migrants from Romania?
2. What is the tone and direction of news media report on Roma Migrants from Romania?
3. What are the predominant themes reported by the news media on Roma Migrants from Romania?
4. What are the recurring comments of Users on Roma Migrants from Romania on Youtube?

### **1.2 Scope or delimitation of the study**

Considering the scope of the study, this research focuses its strength on the news video contents of three Television Stations with international and national coverage between June 2014 and March 2016. Therefore, the study put its searchlight on the global news coverage on socio-cultural issues of Roma migrants from Romania, using Youtube videos. These global media outlets are BBC, Ajazeera and CNN, and a total number of 12 videos were examined in the study. The reasons for selection of these television stations were based on their global coverage, popularity viewership rating and ownership structure; BBC is a TV-news station that has predominant influence in Europe and Africa. CNN is a TV-news station that has predominant influence in the American continent, Africa and Asia, while Ajazeera is a global TV-news station that has predominant influence in the Middle East and Asia

## **2. Method and materials**

The method adopted for this study was content analysis. Several scholars agree that content analysis is a research method used for extracting communication contents in documents such as books, newspapers, news reports, etc. Therefore, content analysis was used in this study for extracting data from the content of news videos. This was done by analyzing the frequency and prominence or importance as well as direction/slant of news on Roma Migrants from Romania as content categories. More so, the unit of measurement and news analysis includes features, news stories, editorials, special reports and sources of news etc.nia.

## 2.1 Sample size

In this study, there is no doubt that it is impracticable to study all the television stations considering the time frame, constraint and most especially unavailability of some of the members of the population to the researchers was another reason. Therefore, only three (3) television stations were selected for the study. They are namely British Broadcasting Corporation (BBC), Cable News Network (CNN) and Ajazeera. By statistical calculation, a news video was selected per month for each of the television under study. Using purposive sampling, the researchers selected the 4 top news videos in terms of viewership on Youtube. Thus, a sample size of 12 news videos was used for the study. Importantly, the timeline adopted for the analysis was between June 2014 and March 2016 to achieve the objectives of the study.

## 2.2 Unit of measurement/analysis

The parameters of content(s) of the units of analysis frequency slant/direction, prominence etc were tested. In case of prominence, this was determined or tested based on the viewership and users' comments on issues about the Roma migrants. On the other hand, slant of the three TV reports on Roma migrants was determined by the stand of the television i.e. favorable and neutral categories.

## 3. Results

The data analysis of this research work was based on the 12 TV news items content analyzed. These were the various TV news reports on Roma migrants as reported by British Broadcasting Corporation (BBC), Cable News Network (CNN) and Ajazeera between June 2014 and March 2016. In addition, the data was analyzed with the use of simple percentage and frequency tables. This study in general terms was aimed to find out the attention given by the TV News report to Roma migrants issues.

Research question analysis

### 3.1 Research question one: what is the users' level of prominence given to news media report on Roma migrants from Romania on Youtube?

Tab.1 Distribution of issues based on TV report

S/N	STATION	HEADLINE	NO. OF VIEWS	NO. OF COMMENTS
1	CNN	Wave of Migrants to Europe is Not an Invasion	1,520	Comments disabled
		French opposition leader: Immigration influx is "crazy"	23,178	122
		Hungary cracking down on Muslim migrants	328,194	3605
		Croatia says it can't take any more migrants	7,788	104
2	Al Jazeera	Roma in Italy living in segregated slums	1,663	25
		Sweden struggles with Roma beggars	2,399	45
		New UK immigration rule under criticism	5,113	102
		Young refugees trafficked in Italy	1,501	8
3	BBC	Romanian Doctors and the British NHS	4300	1
		Migrant crisis: 'A huddle of humanity' pulled from open seas	7527	150
		Migrant crisis: The Facts	98,783	277
		Migrant Crisis: 'This is a European capital city'	57081	630

Tab.2 Users' level of Prominence to TV reports

S/n	TV News Station	Users' Viewership		Users' Comments	
		Frequency	%	Frequency	%
1	BBC	167,891	26.2%	436	9.8%
2	CNN	360,680	70.6%	3831	86.1%
3	Ajazeera	10,676	3.2%	180	4.1%
4	Total	539,247	100%	4447	100

From Table I and 2, more than 70% of YouTube users viewed news reports on Roma migrants issues. on CNN, which also had 86.1% Users' comments on video. This was followed by BBC, which had 26.2% viewership and 9.8% of Users commented on news video. Thus, Youtube users' gave high prominence viewership and engagement to CNN which is an international news media organization. In essence, CNN had the highest percentage of viewership and comments on Roma migrants issues. Importantly, users paid more attention to the racial policing of Roma migrants by government agents in Hungary and France

### 3.2 Research question two: what is the direction of news media report on Roma migrants from Romania?

Tab.3 Direction of News report

Slant	Frequency	Percent
Favourable	0	0%
Neutral	2	16.7%
Unfavourable	10	83.3%
Total	12	100%

Tab.4 Direction of News report according to Media Outlet

Slant	BBC		CNN		Ajazeera		Total	
	Frequency	%	Frequency	%	Frequency	%	Frequency	%
Favourable	0	0	0	0	0	11.1	0	0%
Neutral	0	0	1	8.3	1	8.3.1	2	16.7%
Unfavourable	4	33.3	3	25	3	25	10	83.3%
Total	4		4		4		12	100%

From Table 3, more than 80% of the news reports on Roma Migrants from Romania were unfavorable, only 16.7% of the reports were neutral. From table 4, CNN and Ajazeera had neutral reports on the migration issue. The tone of majority of the report was the risk of accepting so many Roma migrants in France, Hungary, Germany and UK.

### 3.3 Research question three: what are the predominant themes reported by the news media on Roma Migrants from Romania?

From the findings of this study, four major themes were reported by British Broadcasting Corporation (BBC), CNN and Ajazeera. These themes were:

- 1. European governments under pressure over Roma migration-** Many European leaders are under pressure over issues of social inclusion and integration of Roma migrants. Several reports indicate that European governments are under pressure to focus on Roma integration. The Roma are now given how to build new homes and improve their neighbourhoods. Another report indicated that more than 4,000 members of the Roma community live in overcrowded camps infested by rats.
- 2. Use of police agents to frustrate Roma migration-** A television reported that Roma migrants from Romania were victims of police brutality and harassment. A few media reports indicate that Hungarian police use tear gas and water cannon on immigrants to send them away. Another media report showed the Croatia police trying to hold off the huge number of immigrants trying to push through the boarder.
- 3. Roma Migrants as Suspected Criminals:** A few media report indicated that Roma migrants were seen as suspected criminals in Western Europe. It was reported that Roma beggars are accused of belonging to criminal gangs. The Swedish government has created a task force to look at the problem on Roma beggars. Another media report indicated that criminal smugglers disguised as migrants have to be eradicated. The need to open up more legal avenues of migration is seen and set up temporary migration reception centres in countries. In Italy, terminal station in central Rome has become notorious as a place where groups of migrants try to make a living as best as they can; some by selling drugs and some by selling sex.

**4. European Countries reluctant to accept Roma migrants.** It was reported that several European countries were unwilling to accept any more Roma migrants in their countries. A media reported Hungary can't cope with the massive influx of refugees. The number asking for asylum has risen almost 10 folds compared to the previous year. France cannot take the risk of accepting so many immigrants into their country. There will be lack of food, job and shelter and some are terrorists. They would rather send help to the immigrants' places of origin.

From the analysis, three major underlying socio-economic issues affecting Roma migrants in Europe were racial bias, structural poverty and ethnic marginalization. These issues have negatively affected the relationship of Roma migrants in Europe. These issues have negative snowball effects on social acceptance, inclusion and development of Roma migrants in Western Europe

### **3.4 Research question four: what are the recurring comments of users on TV news report of Roma migrants on Youtube?**

For this study, there were 4447 comments made from Youtube Users that watched news videos of Roma migrants. Importantly, two major recurring comments were identified for this study. These three recurring comments are:

#### *3.4.1 Europeans see Roma Migrants as invaders*

Users' comments on Roma migrants reveal that many Europeans were not racial tolerant about Roma migrants. Many of them believed that Roma migrants from Romania were invading their territory to occupy their social and economic resources. Most of the users supported a forceful ejection of Roma migrants from their countries. Some of these comments can be read below:

- a. "They are not immigrants they are aggressive invaders. wish the rest of Europe would wake up" -Eddie W5 months ago.
- b. "Drive these invaders out of your country.....they will not assimilate and become Hungarians. There goal is to replace your culture with theirs".- bozomonster4 months ago.
- c. "AND UNFORTUNATELY THESE PEOPLE ARE BREEDING FASTER THAN RATS. ITS DISGUSTING"-Light & Shadow Oma migrants.
- d. "It's an invasion there is no other name for" it-Krieger .

#### *3.4.2 Roma Migrants are seen as Third Class Citizens*

A majority of users' comments elucidated that Roma migrants were lesser human beings. They believed that Roma migrants were third class citizens, who should not be respected, honored or given any privileges. Some of these comments can be read below:

- a. "These roma trash are good for nothing . Even when they came to Canada, all they did was steal". - Kally954569.
- b. "Roma are from india, thats why they have dark skin like u my boy, look at a bust of any emperor" -shyF0x2 years ago.
- c. "I started to laugh so hard when he said poverty and discrimination. The real problem is the fact that they are lazy, not all of them are, only the big majority. Do you think that only Sweden struggles with them? They are a headache for all the countries".- Dan Pahomi.
- d. "Third World Populations bringing diseases to Europe: Tuberculosis, Leprosy, and Islam"-AR15fan.

## **4. Conclusion**

Drawing inference from available literature reviewed and the data analyzed, the narrative on the Roma migrants as reported by the BBC, CNN and Aljazeera news outlets is not in favor of the migrants. Also, it can be inferred that the news reports are not balanced but lopsided, because they

tend to focus on the socio-economic inconveniences that the Roma migrants cause the governments and citizens of some of the European countries that host them. It is recommended that there is need to tell the stories of these migrants. The narratives should be told from their perspectives. The three media outlets under study, BBC, CNN and Aljazeera, should utilize their global new coverage, mileage and reputation to help alleviate the plights of the Roma migrants. They should provide a platform through specialized reports and documentaries, for the migrants to tell their stories; stories of their struggles, challenges, sufferings and triumphs. This will aid the change in perspective of media audiences towards the Roma migrants. The narrative should change from portraying them as a burden and concern to some European countries, to a people who have the potentials to contribute positively to the socio-economic development of the countries if they are given the necessary help and aid. Furthermore, non-government agencies and international aid and donors should work together to provide structure for skill acquisition and human capital inclusion for the migrants in their host countries. In addition, the European Union (EU) should kindly work out its benefit systems for migrants as well as partner with media institutions to promote ethnic tolerance for Roma migrants among EU member states.

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## Adoption of International Financial Reporting Standards and Market Performance of Listed Banks in Nigeria

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**Keywords:** IFRS; Adoption; Globalization; GAAP; Financial reporting.

**Abstract.** The objective of this study is to examine the effect of the adoption of IFRS on the market performance of banks in Nigeria. Secondary data were acquired from the financial statement of 15 money deposit banks listed on floor of the Nigerian Stock Exchange (NSE) while regression and paired sample test analyses were used to determine the association between the adoption of IFRS and the market performance of listed money deposit Banks in Nigeria. The study found a positive and significant relationship between the adoption of IFRS and the market performance of listed money deposit banks in Nigeria proxy by Dividend pay-out (DPO) and Dividend Yield (DY). Furthermore, the paired sample test result indicates a significant difference exists between Dividend pay-out (DPO) and the adoption of IFRS while no significant difference exists between Dividend Yield (DY) and the adoption of IFRS. Thus, the study recommends that the global adoption of International Financial Reporting Standards particularly in developing economies like Nigeria should be properly implemented and studied, so as to keep abreast with the various changes the would likely affect the market performance of the Nigerian Banking industry.

### 1. Introduction

In the last decade, globalization in accounting profession around the world has led to the adoption of a uniform set of accounting standards to facilitate business transactions and increase the inflow of capital through foreign direct investment, thereby improving and expanding a nation's capital market. The need for International Financial Reporting Standards (IFRS) in preparing financial reports in recent times has become more relevant. This is because the adoption of International Financial Reporting Standards (IFRS) is likely to enhance the efficient allocation of resources, transparency and comparability of accounting information among various stakeholders such as investors, financial analyst, creditors, loan providers, management, regulators and all those connected to corporate reporting (Barth, 2008; Daske, Hail, Leuz, & Verdi, 2008).

In order to improve the growth of international trade and investment across countries, coupled with the need to increase foreign direct investment, nations such as Nigeria, Kenya, South Africa, Ghana and other developing countries have adopted IFRS. This is important bearing in mind that quality financial reports are required for users of accounting information in making timely investment decisions and other relevant purposes. Thus, IFRS is committed to producing high quality financial statements within the banking sector which are relevant, reliable and comparable amongst users of accounting information (Owolabi&Iyoha, 2012).

Furthermore, due to the difficulties associated with global accounting diversity, there have been efforts by government and regulatory bodies around the world to limit global accounting diversity across nations for decades (Nobes, 2004). However, as a result of the various potential benefits anticipated by corporate entities consequent on IFRS adoption, several nations have adopted the International Financial Reporting Standards (IFRS). The adoption of International Financial Reporting Standards (IFRS) has benefited stakeholders in areas such as, improved comparability of financial reports, better transparency, greater access to local and international capital markets and improved corporate reporting in the financial sector (Jermakowicz, 2004; Iyoha&Faboyede, 2011; Ikpefan&Akande 2012; Nassar, Uwuigbe, Uwuigbe&Abuwa 2014).

The banking industry plays a crucial role in the growth of the economy of most nations. It is therefore important for investors and other decision makers to retain confidence in the banking sector. Thus, given the role the banking sector plays in the development of every nation, there is an increased demand for high quality accounting standards to provide investors with the required resources in making investment decisions such that the issue of International Financial Reporting Standard (IFRS) cannot be overemphasised.

Although a few empirical studies have examined the impact of IFRS on the market performance of firms in the context of developing and developed countries (see Ball, 2006, Iyoha&Oyerinde, 2010; Iyoha and Faboyede, 2011; Ojeka and Mukoro, 2011; Muhammad, 2012; Ying and Michael, 2012; Abolaji and Adeolu, 2015; Asian, 2015), the extent of literature review showed that none of these studies have investigated the adoption of IFRS and market performance of listed banks in Nigeria using dividend pay-out ratio and dividend yield as proxies simultaneously. This constitutes a significant gap in empirical literature taking into consideration the differences between developed and emerging nations (see Ball, 2006, Iyoha&Oyerinde, 2010; Iyoha and Faboyede, 2011; Ojeka and Mukoro, 2011).

The objectives of this study include; to examine the effect of the adoption of IFRS on the market performance of listed banks in Nigeria and also to determine the significant difference between the adoption of IFRS and the market performance of listed banks in Nigeria. The remaining part of the study is divided into four sections. Section 2 considers the review of literature and the hypothesis development and section 3, consider the methodology. Section 4 considers the data analysis and implications of findings while section 5 considers the conclusions and recommendations.

### **Hypotheses testing:**

H<sub>01</sub>: IFRS adoption has no significant effect on the dividend Pay-out of listed banks in Nigeria

H<sub>02</sub>: IFRS adoption has no significant effect on the dividend yield of listed banks in Nigeria

## **2. Review of related literature**

This section debates on IFRS adoption and market performance of listed banks in Nigeria. It also provides the theoretical and empirical frameworks for the study

### **2.1 IFRS adoption and market performance of firms in Nigeria**

In the last decade, globalization in corporate reporting around the world has led to the adoption of a single set of accounting standards to facilitate business transactions, transparency and comparability of financial reporting across the globe. Historically, diversities in national Generally Acceptable Accounting Principles (GAAP) across various countries resulting from differences in political, technological, economical, socio-cultural, legal and complexity in business structures have increased the need for International Financial Reporting Standard (IFRS) adoption (Demaki, 2013; Uwuigbe&Olowe, 2013; Uwuigbe, Jimoh&Daramola, 2013; Wilson, Loraver, Adaeze, &Iheanyi 2013).

A number of studies such as (Oseni 2013; Nassar, Uwuigbe, Uwuigbe and Abuwa 2014) suggest that the adoption of International Financial Reporting Standard (IFRS) will lead to better comparability, reliability and relevance of accounting reports across the world, which will transformed the face of financial reporting within and amongst nations. However, Fasina and

Adegbite (2014) posited that the adoption of a single set of accounting standard will increase corporate productivity, increase output for actual business performance and save international organisations the cost of producing more than one set of financial statement for diverse national authorities. Jinadu, Ojeka and Ogundana (2016) investigated the effect of International Financial Reporting Standards (IFRS) adoption on the Foreign Direct Investments (FDI) of listed firms in Nigeria. The study found that the adoption of International Financial Reporting Standards (IFRS) is positive and significantly associated to Foreign Direct Investments (FDI) of listed firms in Nigeria.

Furthermore, the study also found LNEG to be positive which indicates that IFRS firms recognize losses more regularly in the post adoption period than in the pre adoption period; the study therefore suggests that accounting quality increases after the adoption of International Financial Reporting Standards (IFRS). The study concludes that post International Financial Reporting Standards (IFRS) adoption firms tend to display higher values on a number of productivity measures, such as earnings per share (EPS) and therefore recommends the full implementation of International Financial Reporting Standards (IFRS) by regulatory authorities such as the Securities and Exchange Commission, and Stock exchange markets.

### 3. Research method

This study adopted a Survey research method using cross-sectional research design. The cross-sectional design was considered suitable for this study because data on the variables were obtained at a particular point in time across the period of the study and this aims at accurately comparing the effect of pre and post IFRS adoption on the market performance of listed banks in Nigeria. This study also made use of the census technique. This is because all the fifteen 15 quoted deposit money banks out of the total 15 listed banks in Nigeria form the population as well as the sample size.

The study used secondary data generated from the audited annual reports of fifteen (15) money deposit banks for 2009-2014 financial year-end. Copies of the financial reports of the fifteen (15) listed money deposit banks were used to extract data on the Dividend pay-out (DPO) and Dividend Yield (DY) while context analysis method was used in the study to proxy pre-adoption of International Financial Reporting Standards (IFRS) and post-adoption of International Financial Reporting Standards (IFRS) periods. However, for the purpose of this study, market performance is defined as the improvement in the value of the market indicators over a period of time and measured with proxies such as Dividend pay-out (DPO) and Dividend Yield (DY).

#### 3.1 Model specification

There are a number of factors that may affect IFRS adoption and market performance of listed banks in the Nigeria. In line with the study of Asian, (2015) Dividend pay-out (DPO), and Dividend Yield (DY) are expressed as a function of International Financial Reporting Standard (IFRS) to proxy the pre and post adoption of IFRS as well as other independent control variable such as Volume of shares traded, Board size, Firm size, and Market price.

$$MPerf = f(IFRS, VOLS, BS, FS, MP) \dots \dots \dots eq(1)$$

$$DPO = \beta_0 + \beta_1 IFRS + \beta_2 LogVOLS + \beta_3 BS + \beta_4 LogFS + \beta_5 MP + \mu t \dots \dots \dots eq(2)$$

$$DY = \beta_0 + \beta_1 IFRS + \beta_2 LogVOLS + \beta_3 BS + \beta_4 LogFS + \beta_5 MP + \mu t \dots \dots \dots eq(3)$$

#### Apriori expectation

Where:  $IFRS = \beta_1, \beta_2, \beta_3, \beta_4, \beta_5 > 0$ .

Where:

**Dividend pay-out RATIO** measures the relationship between dividend paid and earnings.

**Dividend yield:** it measures the dividend per share divided by the market price per share.

**International financial reporting standards:** dummy variables were used in this study, Hence, the pre adoption of International Financial Reporting Standards (IFRS) period is represented by

zero (0) while the post adoption of International Financial Reporting Standards (IFRS) period is represented by one (1).

**Volume of shares traded** is measured by the number of shares traded in the stock market during a given period of time.

**Firm size** is measured by the natural logarithm of the company's total assets.

**Board size** is measured by the total number of the company's directors.

**Market price** is measured by a simple average of the highest market price and the lowest market price.

#### 4. Data analysis method

This section of the study looked at the analyses of results and presentations. The hypothesis stated was tested and analysed using Panel Least Square method.

##### 4.1 Results and discussion

Tab.4.1 Panel Least Square Regression Result Model 1

Dependent Variable: DPO

Variable	Coefficient	Std. Error	t-Statistic	Prob.
IFRS	0.057858	0.030959	1.868892	0.0358
LNFS	-0.039270	0.019308	-2.033894	0.0458
MP	0.019270	0.006904	2.791027	0.0068
VOL	0.006139	0.002211	2.777270	0.0070
BS	-0.007854	0.005478	-1.433817	0.1561
C	0.995234	0.361018	2.756745	0.0074
R-squared	0.869019	Mean dependent var		0.420895
Adjusted R-squared	0.833467	S.D. dependent var		0.410405
S.E. of regression	0.219973	Sum squared resid		3.387183
F-statistic	24.44368	Durbin-Watson stat		1.919467
Prob(F-statistic)	0.000000			

Source: Author's computation 2016

##### 4.2 Hypotheses restatement

###### Hypothesis 1

*H<sub>01</sub>: IFRS adoption has no significant effect on the dividend Pay-out of listed banks in Nigeria*

The result in Table 4.1 above show the data for the 15 listed banks were estimated over a 6 year period using panel ordinary least square method of regression. The result shows that the probability of the f-statistic is 0.000000 which indicate that the totality of the model is significant and the model has high goodness fit. The result further shows that the R-squared is 86% and this implies that 86% of the total change in the dependent variable Dividend Pay-out (DPO) can be explained by the explanatory variables (International Financial Reporting Standard adoption, Volume of shares traded, Board size, Firm size, and Market price while the Durbin-Watson of 1.92 indicate that the result is free from serial autocorrelation problem.

The coefficient of International Financial Reporting Standards is 0.057858 and the p-value is 0.0358 at 5% level of significance. This implies that there is a positive and significant relationship between IFRS adoption and the Dividend Pay-out (DPO) of listed banks in Nigeria.

##### 4.3 Interpretation of results

From the analysis above, the relationship between the adoption of International Financial Reporting Standards (IFRS) and Dividend Pay-out (DPO) has a coefficient (r) of 0.057858, indicating a direct relationship between the two variables. On the premise of this result, the relationship between IFRS

adoption and the Dividend Pay-out (DPO) of listed banks in Nigeria is positive and significant, the study therefore accept the alternative hypothesis and reject the null hypothesis.

This invariably means that IFRS adoption has significantly improved the Dividend Pay-out of listed banks in Nigeria. Furthermore, the significant positive relationship found between the adoption of International Financial Reporting Standard (IFRS) and Dividend Pay-out is consistent with other studies such as (Gill, Biger, & Tibrewala, 2010; Mistry, 2010; and Okpara&Chigozie, 2010). This study therefore argues that IFRS adoption will likely improve the dividend pay-out ratio of stakeholders and attract more investors to invest their funds. Hence, increase the inflow of capital through foreign direct investment.

Tab.4.2 Panel Least Square Regression Result Model 2

Dependent Variable: DY

Variable	Coefficient	Std. Error	t-Statistic	Prob.
IFRS	0.010432	0.005131	2.032955	0.0459
LNFS	-0.008416	0.004117	-2.044278	0.0447
MP	-0.002142	0.000752	-2.849018	0.0058
VOL	0.001844	0.001385	1.331756	0.1873
BS	-0.001270	0.001867	-0.680337	0.4985
C	0.229416	0.065600	3.497203	0.0008
R-squared	0.721864	Mean dependent var		0.093149
Adjusted R-squared	0.646370	S.D. dependent var		0.072018
S.E. of regression	0.050218	Sum squared resid		0.176529
F-statistic	9.561872	Durbin-Watson stat		2.043366
Prob(F-statistic)	0.000000			

Source: Author's computation 2016

***H<sub>02</sub>: IFRS adoption has no significant effect on the dividend yield of listed banks in Nigeria***

The result in Table 4.2above show the data for 15 listed banks were estimated over a 6 year period using panel ordinary least square method of regression. The result showed that the probability of the f-statistic is 0.0000 which indicate that the totality of the model is significant. The result further showed that the R-squared is 72% and this implies that 72% of the total change in the dependent variable (Dividend Yield) can be explained by the explanatory variables while the Durbin-Watson of 2.04 indicate that the result is free from serial autocorrelation problem.

The coefficient of International Financial Reporting Standard (IFRS) is 0.010432 with a p-value 0.0459 at 5% level of significance. This implies that there is a positive and significant relationship between IFRS adoption and the Dividend Yield (DY) of listed banks in Nigeria.

#### **4.4 Interpretation of results**

From the analysis above, the relationship between IFRS adoption and the Dividend Yield (DY) has a correlation coefficient (r) of 0.010432, indicating a direct relationship between the two variables. On the premise of this result, the relationship between the IFRS adoption and the Dividend Yield (DY) of listed banks in Nigeria is significant at 5% level of significance. The study therefore, accepts the alternative hypothesis and rejects the null hypothesis result.

This IFRS adoption has expressively improved the Dividend Yield (DY) of listed banks in Nigeria. Furthermore, the significant relationship found between the adoption of International Financial Reporting Standard (IFRS) and the Dividend Yield (DY) is in line with other studies such of Ahmad &Javid 2010 and Nazlı, 2011. This study therefore argues that IFRS adoption will likely improve the dividend yield of stakeholders and attract more investors to invest. Hence, increase the inflow of capital through foreign direct investment.

## 5. Conclusion and recommendation

It has become clear that no nation can stand in isolation in the quest to adopt a mutual financial reporting language. Where there are diversities in the financial reporting language of every country, there exist difficulty in translating financial reports and the extra cost of translating the financial reports would be borne by the stakeholders. In safeguarding a high quality corporate financial reporting environment, active Control and Implementation Mechanism must be put in place. Hence, the study investigated the impact of the adoption of International Financial Reporting Standards (IFRS) on the market performance of listed banks in Nigeria. Based on the results obtained, the study found a positive and significant relationship between IFRS adoption and the market performance of listed banks in Nigeria, and which is in line with studies such as (Ahmad &Javid 2010 and Nazli, 2011).

## 6. Recommendation

The study recommends that the global adoption of International Financial Reporting Standards particularly in developing economies like Nigeria should be properly implemented and studied, so as to keep abreast with the various changes that would likely affect the market performance of the Nigerian Banking industry.

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## Bankers' Perspectives on Integrated Reporting for Value Creation: Evidence from Nigeria

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**Keywords:** Employees; Corporate reporting; Integrated reporting; Nigeria; Zenith bank.

**Abstract.** This study aims to examine the opinions of Zenith bank employees on the value, content and processes as well as the challenges of Integrated Reporting (<IR>) in Nigeria with the hope of highlighting recommendations to encourage organizations to adopt it. Ninety eight employees responded to our survey. Generally, the respondents agree that (<IR>) has value that could lead to better reporting of corporate activities. They also identified challenges that could mitigate the value of (<IR>). It was however noted that some of the challenges could be overcome with time, given that <IR> framework exist that is being test run by a number of organizations. The study recommends that there should be awareness campaigns to sensitize organizations on the value of <IR>. This paper contributes to the extant literature by offering insights of Zenith Bank employees on <IR>.

### 1. Introduction

The focus of annual reports and accounts of organizations has been on the traditional view of accounting that organizations should only be concerned with those activities that take place within the firm. This, according to Drevensek (2012), is based on the “corporate reporting model developed in the 1930s for the industrial world and consist primarily of a past performance oriented business view and possibilities for value creation in the short term.” Consequently, reporting on the activities of organizations would appear to have found itself at a crossroad. A number of questions are being asked: How accurate and comprehensive are annual reports as being currently rendered? Do the reports reveal “the substance” of corporate performance or only the ‘form’? Do stakeholders perceive the current corporate reports as trustworthy and reliable? Should stakeholders be engaged in the articulation of corporate reports? Should corporate reports not be integrated to include financial, economic as well as social, environmental and governance performances? These questions are of significant relevance as recent corporate scandals around the world involving Enron and similar other companies such as African Petroleum Plc, Cadbury Nigeria Plc and Lever Brothers Plc (Ajibolade, 2008 and Bakre, 2007) indicate that the companies have lost focus and credibility (Iyoha, 2015).

Studies and expertise on integrated reporting are emerging especially in the developed world, but same cannot be said of developing economies such as Nigeria. However, in order to follow the trend of current development in corporate reporting and to differentiate itself in the banking industry, Zenith Bank Plc, Nigeria has started training its staff on Integrated Reporting under the

Mandatory Continuing Professional Education (MCPE) programme provided by the Institute of Chartered Accountants of Nigeria, (ICAN). The initiative is in order given that the focus of integrated reporting, according to the International Integrated Reporting Council (IIRC), is the providers of financial and other capitals (financial, manufactured, intellectual, human, social & relationship, and natural) required in the value creation process (IIRC, 2013b). Also, according to Stubbs, Higgins, Milne and Hems (n.d), there is “currently little understanding of the requirements and expectations of the providers of financial capita and therefore little guidance to preparers of integrated reports on how to utilize the six capitals to disclose the information required by these providers of financial capital.”

To this end, this study will attempt to explore the potential of integrated reporting within the context of the banking sector in Nigeria and from the perspective of Zenith Bank employees, thereby contributing to the emerging literature on the subject.

This paper is structured as follows. The next section provides a summary of Zenith Bank Plc, Nigeria. Following is the review of related literature. This is followed by a description of the research method. Results, discussions and limitations are then presented along with limitations of the study, conclusion and recommendations.

## 2. Zenith Bank PLC in Context

Zenith Bank PLC is listed in the financial services sector of The Nigerian Stock Exchange (NSE). It is one of the most capitalized banks in Nigeria, the biggest tier-1 bank in Nigeria, and a major player in the industry in terms of profitability and enormity of shareholders’ fund. The bank was established in May 1990 and currently has a shareholder base of about one million. Zenith Bank became a public limited company on June 17, 2004 and was listed on the Nigeria Stock Exchange on October 21, 2004. The bank’s shares are also traded on the London Stock Exchange (LSE). The Bank is headquartered in Lagos, Nigeria, with a network of over 500 branches and business offices. The bank also operates in the United Kingdom, Ghana, Sierra Leone and The Gambia while she has representative offices in South Africa and China.

The bank has continued to grow in all its activities through the efforts and expertise of its staff and management. The collaborative approach adopted by the Board in decision making has created one of Nigeria’s strongest organically-grown management teams. The bank has built an enviable reputation in e-banking, having blazed new trails in the deployment of Information and Communication Technology (ICT) to create innovative products that meet and often times, surpass the needs of its customers. This is in line with its vision to “become the leading Nigeria, technologically-drive, global financial institution, providing a distinctive unique range of financial services.” To actualize the vision, in line with its mission, the bank is “building itself into a reputable international financial institution recognized for innovative, superior performance and creating premium value for all stakeholders exemplified in its mission statement.” This record of performance has resulted in various ratings, endorsements and recognitions as presented below:

Tab.1 Ratings, Endorsements and Recognitions

Rating Agency	Rating
Standard and Poor’s (2013)	BB-/Stable/B
Standard and Poor’s (2012)	B+/positive/B
Fitch (2013)	B+
Fitch (2012)	B+

These ratings are suggestive of integrity, professionalism, corporate governance loyalty and excellent service which represents the core values of the bank. With its interest in integrated reporting, it is expected that the bank will be better positioned to continue on its growth trajectory (Adapted from Zenith Bank Corporate profile, 2015).

### 3. Review of related literature

Our review of the literature consists of five sections: (i) background; (ii) Integrated Reporting; (iii) Value of Integrated Reporting; (iv) Content of integrated Reporting and (v) Challenges of Integrated Reporting. Our research focuses on the latter three areas we considered relevant to an understanding of the attitudes of individual bankers in the employ of Zenith Bank.

#### 3.1 Background

Given the level of globalization, it may no longer be appropriate to view organizations as instruments of shareholders alone but organizations should now exist and have responsibilities to the society. Thus, in the views of Eccles and Krzus (2011) which is also shared by Drevensek (2012), it has become clear that in the long run “corporations cannot succeed in a world that is collapsing and where trust in organizations is seriously damaged.” Therefore, a shift towards greater accountability to all interests should become imperative. This should assuage, as observed by Simnet, Vanstraelen and China (2009), the consistent concern that traditional annual accounts and reports do not adequately represent the multiple dimensions of corporate value today. Thus, integrating not only the financials but, also the social, environmental and governance impact of an organization is increasingly being requested by both the investor community and a variety of other stakeholders (Sihotang and Effendi, 2010). This has added impetus to the on-going discourse on integrated reporting and the need to engage the interest of other stakeholders in the reporting chain.

The stakeholders, other than shareholders, do not just have an interest in the activities of the companies but also a degree of influence over the shaping of those activities. Indeed, Gray, Owen & Maunders (1987, 1991) are of the view that, rather than an ownership approach to accountability, a stakeholder approach, recognizing the wide stakeholder community is needed. This is particularly important in a country like Nigeria and many others where as observed by Krzus (2011), the focus on the need of investors and other interests has not been enough.

Although corporate reporting constantly undergoes changes and also always challenged on the basis of credibility, in presenting accurate picture of present and future performance of firms (Cortez and Cynthia, 2010), more dynamic changes will yet occur when integrated reporting takes root.

#### 3.2 Integrated reporting

Integrated reporting (IR) is a process founded on integrated thinking that results in a periodic integrated report by an organization about value creation over time and related communications regarding aspects of value creation (IIRC, 2013:33). According to Drunkman (2012), integrated reporting is “a market-led initiative, driven by business and investor needs to gain greater insights into how a company’s strategy creates value over the short, medium and long-term.” Integrated reporting (IR) is a worldwide reporting phenomenon that is in current discourse aimed at addressing contemporary challenges in corporate reporting. According to the International Integrated Reporting Council (IIRC), (2011), the objectives of Integrated Reporting (IR) are to –

*Improve the quality of information available to providers of financial capital, promoting a more cohesive and efficient approach to corporate reporting, enhancing accountability and stewardship for the broad base of capitals and support integrated thinking, decision-making and actions that focus on the creation of value over the short, medium and long term.*

By bringing together the material information about an organization’s strategy, governance, performance and prospects in a way that reflects the commercial, social and environmental context within which it operates, organizations would be able to achieve the objectives as described above (IIRC, 2011).

Thus, in an integrated reporting process, organizations draw on resources and relationships for business activities in order to create an integrated report. The Framework of the International

Integrated Reporting Council (2013), describes an integrated report as “a concise communication about how an organization’s strategy, governance, performance and prospects, in the context of its external environment, lead to the creation of value over the short, medium and long term.” This implies that integrated reporting is about ‘better reporting’, not ‘more reporting.’ This accord with the observation by Eccles and Saltzman (2011: 5), that an integrated report is “not intended to be a compendium of every single piece of performance information but rather, it brings together material information on financial and nonfinancial performance in one place and shows the relationships between these material financial and nonfinancial performance metrics.”

### 3.3 Value of integrated report

Although integrated reporting is in its formative years and, as noted by Eccles and Saltzman (2011), it is “not a panacea for improving resource allocation decisions or a silver bullet for solving contemporary problems with financial and nonfinancial reporting.”, however, some benefits are associated with its application by organizations. The first of these, referred to as internal benefits include “better internal resource allocation decisions, greater engagement with shareholders and other stakeholders, and lower reputational risk” (Eccles and Saltzman, 2011 and Eccles and Krzus, 2010). The second, which may be referred to as external benefits, include “meeting the needs of mainstream investors who want ESG information, appearing on sustainability indices, and ensuring that data vendors report accurate nonfinancial information on the company.” (Eccles and Krzus, 2010) and also “managing regulatory risk, including being prepared for a likely wave of global regulation, responding to requests from stock exchanges, and having a seat at the table as frameworks and standards are developed” (Eccles and Armbruster, 2011).

### 3.4 Content of integrated report

The current vs integrated of an integrated report is built around seven elements (organizational overview and external environment, governance, opportunities and risks, strategy and resource allocation, business model, performance, and future outlook, (IIRC, 2013). When the content is linked across these elements, according to Busco, Frigo, Quattrone and Riccaboni (2013), then, “an integrated report can build the story of the business from a basic description of the business model through the external factors affecting the business and management’s strategy for dealing with them and developing the business.” They further noted that this provides a platform for the discussion of the business performance as well as its prospects and governance in a manner that emphasizes the vital aspects of the business.

This could be discerned from the table below:

Tab.2 (Current Reporting Vs Integrated Reporting)

Feature	Current Reporting	Integrated Reporting
Trust	Narrow disclosures	Greater transparency
Stewardship	Financial	All forms of capital
Thinking	Isolated	Integrated
Focus	Past, Financial	Past and future; connected; strategic
Time frame	Short term	Short, medium and long term
Adaptive	Rule bound	Responsive to individual circumstances (principles based)
Concise	Long and complex	Concise and material
Technology enabled	Paper based	Technology enabled

Adapted from Iyoha (2014)

An observation of the above table would reveal differences between the extant reporting model and the one advocated under integrated reporting.

### 3.5 Challenges of integrated reporting

Integrated reporting is an emerging field and therefore associated with some challenges which of course should be regarded as unavoidable and expected in such a revolutionary change to the old

order of reporting. According to Ernst and Young (2011), some of the challenges include “resistance to change, determining what the structure of the report should be, ensuring a balance between financial and non-financial information, assurance of non-financial data and how to reflect it in the integrated report, and embedding sustainability thinking into the company and its day to day operations.” There have also been other challenges since the implementation of <IR> began. Some of these have been articulated as report “being too long, key performance indicators not very relevant to strategies, inability to deal with issues affecting stakeholder engagement, lack of context in a number of information and aversion to change” (Iyoha, 2014). It is not unexpected that these challenges would arise. The framework will require time to be fully developed in order to mitigate the observed challenges.

#### 4. Research method

This study is part of an on-going study examining the implications of Integrated Reporting in Nigeria. It is an exploratory study and focuses on Zenith Bank Plc, Nigeria. Exploratory study is ideal when a preliminary investigation of the ‘how’ and ‘why’ of a phenomenon is required. Thus, this study surveys opinions on three areas of integrated reporting: value, content and challenges. The opinion survey is conducted through self administered questionnaire to Zenith bank employees during a mandatory training programme in Lagos, Nigeria in July 2014. The respondents were requested to indicate the extent of agreement or disagreement with each statement on a seven point Likert type scale. The responses varied from “very strongly agree” to “very strongly disagree.” The respondents were both male and female middle level managers of Zenith bank. The instrument was reviewed by two senior researchers in integrated reporting and two accounting practitioners. The questionnaire was administered to the 120 participants at the training programme. Responses were received from 114 participants and this gives a response rate of 95%. The usable responses were 98. We did not test for non-response bias. However, based on the high response rate, it is considered that non response bias will not significantly affect the results; hence it was not tested for. We aim to be expanding the scope of our research to other banks in Nigeria.

#### 5. Discussion of results

As indicated in Table 2, the research instrument is divided into five sections which correspond to sections 3.3 through 3.5 of the literature review. The sections are: Value of Integrated Reports, Contents and process of Integrated Report and Challenges of Integrated Reports. The number of the responses to each question, the mean scores, standard deviations, as well as the percentage response to each item, is reported on the table below.

Tab.3 Value, Content and Challenges of Integrated Reports

Item	Statement	Response (N= 98)				Statistics	
		4	5	6	7	Mean	SD
	<b>Value of Integrated Reporting &lt;IR&gt;</b>						
1	<IR> represents innovative and a good idea	2.9%	14.9%	49.4%	32.8%	6.12	.762
2	Better value from <IR> than from current annual reporting	2.3%	21.8%	47.7%	28.2%	6.02	.771
3	Internal benefits exist from the process of producing an <IR>	1.7%	18.4%	51.1%	28.7%	6.07	.734
4	External market benefits exist from producing an <IR>	2.9%	13.8%	65.5%	17.8%	5.98	.658
5	Regulatory risk management benefits exist producing <IR>.	1.7%	20.7%	54.0%	23.6%	5.99	.717
	<b>Content and Process of In integrated Report &lt;IR&gt;</b>						
6	<IR> is adding financial and non-financial information in one report	0.6%	17.8%	57.5%	24.1%	6.05	.665
7	<IR> would be assured by an independent auditor	2.9%	13.8%	46.6%	36.8%	6.17	.771
8	<IR> should contain material information and be concise	-	15.5%	56.3%	28.2%	6.13	.651
9	<IR> can ensure non-financial information is adequately disclosed	4.6%	19.5%	49.4%	26.4%	5.98	.804
10	Publish <IR> with other information in the same corporate report	1.1%	19.0%	50.0%	29.9%	6.09	.728
11	ESG and environmental issues should be included in <IR>	0.6%	16.1%	52.9%	30.5%	6.13	.688
12	Create Sustainability Departments to oversee and produce <IR>	2.3%	18.4%	48.9%	30.5%	6.07	.760
13	The Finance Department should oversee and produce the <IR>.	4.0%	15.5%	47.1%	33.3%	6.10	.802
	<b>Challenges of Integrated Report &lt;IR&gt;</b>						
14	Senior Management will not embrace Integrated reports	0.6%	17.2%	55.2%	27.0%	6.09	.679
15	<IR> is an additional burden on existing reporting requirements	1.1%	13.2%	50.6%	35.1%	6.20	.702

16	Embedding integrated thinking into the company take some time	0.6%	14.9%	50.6%	33.9%	6.18	.695
17	<IR> represent additional workload for the Audit Committee	1.1%	13.2%	50.6%	35.1%	6.20	.702
18	Compliance with >IR> will be low	1.7%	9.8%	54.0%	34.5%	6.21	.685
19	Format for presenting >IR> will differ among organizations	6.3%	7.5%	68.4%	17.8%	5.98	.713
20	>IR> will not lead to better organization performance	9.2%	18.4%	50.0%	22.4%	5.86	.872

## 5.1 Value of integrated reports

The first section focused on value of Integrated Reports. The respondents agree that Integrated Reports <IR> has value. However, they differ on the degree of value for each of the five items representing value of <IR>. 97.1 % agree that <IR> represent innovative and good idea (statement 1) while 97.7% agree that better value would be derived from <IR> than the current reporting regime (statement 2). A greater percentage, 98.3% agree that <IR> has internal benefits (statement 3 and regulatory risk management benefits (statement 5). The respondents that did not agree also did not disagree but were indifferent as to any value of <IR>.

## 5.2 Content and process of integrated report <IR>

This section addressed the content and process of <IR>. There is an agreement on all of the eight items contained in this section. Only 0.6% is neutral as to whether financial and non-financial information should be included in one report. 97% agree that <IR> should be assured by independent auditors (statement 7) while 2.9% is indifferent. With respect to statement 8, 100% agreed that <IR> should contain material information and be concise. Statement 9 deals with disclosure of non-financial information. Whereas 96.4% agreed that <IR> can ensure non-financial information is disclosed adequately, 4.6% and indifferent. 98.9 % agreed that <IR> should be published with other information in the same corporate report, (statement 10), a negligible percentage 1.1% are neutral. Almost the whole respondents (99.4%) agreed that ESG issues should be included in <IR> (statement 11). That Sustainability Department should be created to oversee and produce <IR> is agreed to by 97.7% of respondents while the rest, 2.3% are neutral in the case of statement 12. That the finance department should produce and oversee <IR> is agreed to by 96% of respondents while 4% is neutral (statement 13).

## 5.3 Challenges of <IR>

This last section of Table 2 addressed the challenges of <IR>. Statement 14 focused on the support of senior management. The respondents were almost unanimous (99.4%) that senior management will support <IR>. Statement 15 focused on the issue of <IR> being an additional burden. Only 1.1 % were neutral while 98.9% believed that <IR> is an additional burden on organizations. On embedding integrated thinking into the organization, (statement 16), 99.4% believed that it would take some time. It was also agreed by the respondents (statement 17) that <IR> will represent additional workload (98.9%) whereas 1.1% was neutral. That compliance with <IR> will be low was agreed to by 98.3% while 1.7% was neutral (statement 18). It was also believed that format will differ among organizations (94.7%) while 6.3% were neutral. <IR> will not lead to better organizational performance was agreed to by 91.8% of respondents while 9.2% were neutral (statement 20).

## 6. Summary and conclusions

The results of our study indicate that Zenith bankers are supportive of <IR>. For example, they agreed on each of the five items representing the value of <IR>. That is, <IR> will represent innovative and good ideas among others. They also agreed on the eight items representing the content and processes of <IR>. This position, notwithstanding, the bankers expressed fear about some challenges that could be associated with <IR>. For instance, they shared the views that <IR> would be an additional burden on organizations. They also agreed that <IR> will represent additional workload, compliance will be low, format will differ among organizations and that it will

not lead to better organizational performance. Some of the challenges could be overcome with time. For instance, there is <IR> framework that is being test run by a number of organizations. Such challenges, according to Ernst and Young (2011), “would be expected from such a revolutionary change to traditional reporting.” When finally completed, it would provide direction and road map for organizations to follow such that significant variance in format of corporate reports will not occur.

## 7. Limitations

The results of this study were based on an attitudinal survey of a sample of individual bankers from Zenith Bank Plc, Nigeria. As often the case, there is the question of whether the survey results are indicative of the attitudes of the broader population of individual bankers. This is of particular concern given that the population of the study was limited to Zenith bank employees who attended the in-house training in which presentations on Integrated Reporting < IR> were made. This population may not be representative of the bankers in Nigeria. Another limitation is that, even though the focus of integrated reporting, according to the IIRC, is the providers of financial capital, the opinions of providers of other forms of capital are important and such have not been considered in this study.

## 8. Preliminary recommendations

The results of this study indicate <IR> has some potential which could lead to better corporate reporting in Nigeria. It is therefore recommended that awareness of Integrated Reporting among firms and other stakeholders in Nigeria be created by those firms and organizations that have operational interest in corporate reporting.

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## Impact of Ethics on the Conduct of Professional Accountants in Nigeria

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**Keywords:** Code of ethics; Professional accountants in business; Professional accountants in practice and fundamental principle of ethics.

**Abstract.** High profile corporate collapses and fraud with which accountants are said to have been associated with has given rise to the questioning of the integrity of the professional accountants. This systemic failure has brought into focus issues of long standing debate with respect to how to curb this act and regain the confidence of the public in the professional accountants and the professional accountancy bodies at large. The study examined the impact of code of ethics on the conduct of professional accountants in Nigeria. Regression Analysis, Correlation Technique and T-test were employed in analyzing the data collected. The results revealed that the fundamental principles of ethics have a significant impact on the positive conduct of professional accountants. It further revealed that there is no difference in the various opinions of stakeholders with respect to the impact of the code of ethics. It is therefore recommended that early stage teaching of ethics in all schools and continuous improvements taking into consideration changes in time, based on the current trend should be encouraged. There should also be a program in place to effectively monitor the adherence level of accountants.

### 1. Introduction

In today's business economy, the role of professional accountants in business and in practice is invaluable and immeasurable. The significant reason for the increasing demand for professional accountants are the crucial and critical role they play in financial decision making which is done either directly or indirectly. Contrary to the general belief that the scope of professional accountants is only limited to the financial information they make available to the stakeholders, they also take active parts in financial management, strategic management, building strong internal controls, providing litigation services, providing tax advice on certain tax matters amongst others (Aileen, 2012).

Stakeholders and other decision makers base their decision mainly on information that accountants provide and the accuracy of decisions to be taken would depend on the level of reliability of the accounting information provided. However, according to Aileen (2012), "the accuracy of the information provided by the professional accountants is questionable". This report is evident from the various accounting and financial scandals the accounting profession has faced over several decades such as Enron Scandal, Cadbury and Nestle Plc.

From the 1980's to date, there have been cases of multiple accounting scandals that were widely reported by the media some of which have resulted to fraud charges, bankruptcy protection requests

and even closure of companies and accounting firms. Examples of such fraud cases include: Enron (2001), WorldCom (2002), Tyco (2003), Cadbury and Nestle Plc.

The outcome of the many cases of unethical behaviour which have been noted to be one of the causes of the various accounting and financial scandals have underscored the importance of ethics in businesses (Ajibolade, 2008). As a result of these various accounting scandals, stakeholders attention has been drawn more than ever before to the unethical dimensions of the accounting practice. Idialu and Oghuma (2007) have noted a general belief that without the accountants aiding unethical practice in business and in public services as a whole, there would be no corruption.

In a bid to combat and minimize the accounting scandals as well as curtail the unethical behaviour of professional accountants to the barest minimum, the International Federation of Accountants issued a “code of ethics for Professional Accountants” known as the IFAC Code. The institute of Chartered Accountants of Nigeria also formulated a “Code of Professional Conduct for Members” that would serve as a guide to be followed by the professional accountants to aid easy decision making. The Association of National Accountants of Nigeria established in 1979 formulated its own code of ethics which would serve as a guide to its members in the discharge of their duties.

In spite of the various codes put in place to address the issue of unethical practices among the accountant in Nigeria; there are still some cases of ethical misconduct from the professional accountants. The question is, are these codes of ethics having any impacts on the conducts of the accountants and how do the accountants themselves perceive the impacts of these codes on their professional conducts. Unfortunately, very little research has directly addressed this. It is against this background that this research study aims at examining the impacts of the fundamental principles of ethics on the conduct of professional accountants in Nigeria. It will also contribute to literature by determining the difference between the impact of code of ethics on accountants in business and accountants in practice in Nigeria and also consider the views of stakeholders (Accounting Academics and Bankers) in relation to the impacts of the code of ethics on the conduct of professional accountants in Nigeria.

The remaining part of the paper is therefore divided into four sections. The second discusses the literature and hypotheses developments while the third, fourth and fifth part discusses the methodology, the analysis and implications of findings, conclusion and recommendations respectively.

## **2. Literature review/hypotheses developments**

The Accountancy Bodies and their members have been subject to increasing public scrutiny following protracted criticisms in many jurisdictions over a substantial period. These criticisms are succinctly outlined by Lovell (1995) as:

*Ranging from the failure of accounting documents to reveal a more accurate reflection of the financial well-being/ill health of organizations and the collusion of Accountants in the preparation and validation of those documents, to the failure of the accountancy profession satisfactorily to take account of the public interest in the determination of the future of accounting and auditing practice. (p.60)*

The widespread corruption in the society and the failure of organizations in many parts of the world have once more increased the need for accounting professionals to adhere strictly to the codes of professional ethics. According to Ogbonna and Appah (2011), “the widespread corruption in the business environment seems to be the order of the day in all societies”. Ajibolade (2008) also stated “that recent times had witnessed the collapse of a number of corporate giants in the United States the likes of Enron Corporation, Tyco International, WorldCom, Global Crossing, and Arthur Anderson amongst others”. The Nigerian society has also witnessed the collapse of several companies both in the financial and non financial sectors of the economy.

Professional accountants are expected to maintain society's respect for the (accounting) occupation. According to Oyerinde & Iyoha (2010), "it has been argued that the environment in which professionals operate will usually determine the extent to which they can successfully discharge their role as society watchdogs", this depicts that professional accountants are watchdogs. The impact of the code of ethics on the professional accountant both in business and in practice cannot be over emphasized and they (the accountants) are therefore required to follow the code of ethics set out by the professional body of which they are a member.

## **2.2 The nature and scope of ethics**

Ethics are the moral principles that an individual uses in governing his or her behaviour. It is the personal criteria by which an individual distinguishes "right or wrong" (Ogbonna and Appah, 2011). Ogbonna (2010) is of the view that when talking about ethics and ethical values, it means a concern about things, which we think, say and practice that may not necessarily violate the rules of the organization or infringe the law of the land or amount to outright crime or felony, but which borders on our sense of morality, our sense of right and wrong. The concern issues like conflict of interest, insider's dealings, compromising integrity, objectivity, independence, confidentiality, disclosure of official secret and destruction of official documents for financial benefits and other similar acts that are against moral principles and ethical standards. Nwagboso (2008) argues that 'ethics or morality are matters of good and evil, right and wrong and subscribes to the fact that we are living today in an ethical wilderness'. Nwagboso (2008), states that "ethics is in ferment and chaos amongst all people". Hayes *et al.* (1999) says "ethics represent a set of moral principles, rules of conduct or values". Ethics apply when an individual has to make a decision from various alternative regarding moral principles.

A code of ethics therefore, is a set of formal rules and standards based on ethical values and beliefs' regarding what is right and wrong related to a certain field" (George and Jones, 2005). It is also the codification of the ethical principles, values, beliefs and theories into a document which is referred to when with challenges and serves as a reference guide to determine the appropriateness or otherwise of an action" (ICAN, 2008). It is a formal statement that acts as a guide on how people within a particular organization should act and make decisions in an ethical fashion.

## **2.3 Impact of code of ethics on the conduct of professional accountant in Nigeria**

The nature of the work carried out by professional accountants' calls for a high level of ethics. Stakeholders and other users of the financial statements rely heavily on the yearly financial statements of a company as they are able to make good decision depending on the truthfulness and the fairness of the financial statement presented by the organization and attested to by the auditors of such organization. The importance of a good ethical behaviour amongst professional accountants has been stressed out in many different ways. The various professional bodies have stressed this out by seeing to the establishment of the code of ethics to serve as guidelines for professional accountant in the discharge of their duties. According to Kenn (2007), "these codes of ethics are certainly essential for the accountants to follow in order to prevent the accounting frauds that can lead to the corporate scandals as what happened to the companies like Enron and WorldCom".

The impacts of the code of ethics can help to increase the probability of people in behaving in certain ways and also assist accountants in business and in practice on actions that results in doing the right things for the right reasons. Also, the Code of ethics coordinates the individual activities in a company and harmonizes the behavior of the Accountant in line with the code (Talauciar, 2006). Lastly, the code of ethics can function as a professional statement what ensures that the accountant is committed to certain specific sets of moral standards thereby promoting the confidence level of the public. This has both cognitive and emotive values. Codes can help provide the pride of belonging to a group or a profession. Ajibolade (2008) maintained that future professional accountants should be properly groomed in ethical standards to maintain the respectability of the profession".

Accountants and the profession have been criticized and severely, and some concerns expressed outside the profession, that the problem is a misguided expectations or expecting too much (Young, 1997; Radcliffe et al., 1994). This position prompted (Boyd, 2004) to say that the commercial interests of large firms of accountant had overwhelmed the allegiance to professional integrity (Boyd, 2004). Ethics therefore, have been shown to have assumed an increased importance in organizations, which are now subject to scrutiny and criticism from the media, regulators, and public interest groups (Axline, 1990). Professional practitioners are expected to act in the best interests of society when resolving issues that arise within the scope of their franchised practice. Unfortunately, even with the availability of the codes of ethics, this has not been the case overtime.

*Based on the literature review, the following hypotheses are proposed:*

H<sub>1</sub>: The fundamental principles of ethics have no significant impact on the conduct of professional accountants in Nigeria.

H<sub>2</sub>: There is no significant difference in the impact of code of ethics on accountants in business and accountants in practice.

H<sub>3</sub>: There is no significant difference in the views of stakeholders (Accounting Academics and Bankers) in relation to the impact of code of ethics on professional accountants in Nigeria.

### 3. Research methods

This study adopted the survey research method. The population of study consist the accountants, bankers and accounting academics both in public and private institutions in Nigeria. Because of the large population involved, the study adopted the formula (*see appendix*) for unknown population as put forward by Avwokeni (2006). The sample size for the 4 categories of respondents then becomes 400. That is, professional accountants in business, professional accountant in practice, accounting academics and bankers respectively. A set of questionnaire was constructed to capture the various opinions of the respondents with respect to the objectives of study. The questionnaire was constructed using a five-point Likert scale. In addition, the convenience and purposive sampling technique which are non-probability sampling technique were adopted by the researcher. The data collected were analyzed with the use of both descriptive and inferential statistics. The hypotheses formulated for this study were tested with the use of statistical parametric tools. Hypothesis one was tested with the use of Regression and Correlation Technique while Hypothesis two and three were tested with the use of the Independent T-test.

### 4. Analysis and presentation of results

This section discusses the analyses of results and presentations. Various analyses carried out descriptive statistics, Independent T-test and correlation to test the hypotheses formulated.

#### 4.1 Hypothesis one

Tab.1 ANOVA

Model	Sum of R <sup>2</sup>	Df	Mean Square	Sig.
Regression				
Residual	96.617	1		
Total	3130.900	230	96.617	.008(a)
R	3227.517	231	13.613	
R <sup>2</sup>				

Field Survey 2014

Table 1 above shows the result of the analyses. It was shown that the result was statistically significant at 0.008 levels. This therefore signifies that the fundamental principle of ethics has an impact on the conduct of professional accountants in Nigeria.

In addition, the study also used the Pearson correlation technique to further test the relationship between the variables.

Tab.2 Correlations

		Principles	conduct
Principles	Pearson Correlation	1	.173(**)
	Sig. (2-tailed)		.008
	N	232	232
Conduct	Pearson Correlation	.173(**)	1
	Sig. (2-tailed)	.008	
	N	232	232

Field Survey 2014

The relationship between fundamental principles of ethics (as measured by principles) and the conduct of professional accountants (as measured by conduct) was investigated using Pearson product moment correlation coefficient. Preliminary analyses were performed to ensure no violation of the assumptions of normality and linearity. The result showed a small perfect positive correlation between the two variables,  $r=.173$ ,  $n=232$ ,  $p=.008$  with high levels of fundamental principles of ethics associated with increased positive conduct of professional accountants in the discharge of their duties.

## 4.2 Hypothesis two

Tab.3 Independent T-test

	Levene's test for Equality of Var.	T-test for quality of Means			
	Sig.	Df	Sig. (2-tailed)	Mean Diff.	Std. Error Diff
Equal var. assumed	.715	143	.051	-1.25086	.63697
Equal var. not assumed	.	139.279	.052	-1.25086	.63859

Field Survey 2014

From table 3, the result, -1.25086 shows that, there is no mean difference between the two variables analyzed. This means, there is no statistical difference in the impact of the code of ethics on the conduct of professional accountants in business and in practice. Hence, the way and manner in which the code of ethics impacts the professional accountant in business is the way it impacts accountants in practice. However, the analysis above shows that the code of ethics has a greater impact on the accountant in business than those in practice.

## 4.3 Hypothesis three

Tab.4 Independent T-test

	Levene's test for Equality of Var.	T-test for quality of Means			
	Sig.	Df	Sig. (2-tailed)	Mean Diff.	Std. Error Diff
Equal var. assumed	.304	85	.246	.827229	.74697
Equal var. not assumed	.	44.354	.184	.827229	.64646

Field survey 2014

Based on the table above, there was no difference in the mean of the variables tested. The mean difference stood at .827229. Hence, the hypothesis was rejected. The implication of this is that, there is no significant difference in the views of different stakeholders' with respect to the impact of the code of ethics on the conduct of professional accountants in Nigeria either in practice or in business.

## 5. Conclusion and recommendations

The main aim of this study is to examine the impact of the fundamental principles of ethics on the conduct of professional accountants in Nigeria. This study concludes that fundamental principles of ethics significantly influence positively the conducts of professional accountant in Nigeria. In addition, it is revealed from the study that, the stakeholders do not see any different in the impacts of the code on accountant in business and in practice. The professional bodies in Nigeria should therefore keep reviewing the code of ethics in the accounting profession and ensure the monitoring of compliance among the accountants in business, practice and even in academic. This will help to reduce tension and mistrust that has plagued the noble profession lately. Although it is augured that the code of ethics is not sufficient enough in providing solutions to all seemingly problems arising in firms and organizations for which an accountant might be thrown in a dilemma, yet it is believed that if the accountant should adhere to the code and apply professional judgment in such ethical matters, it would go a long way in helping professional accountants making and taking a positive ethical decision

In addition, more attention should be given to young ones in the field of accounting early in enough in exposing them to the tenets of ethics. The professional bodies that design these codes must also ensure that these codes are more explicit as to specific actions that should or should not be taken, and they should also ensure they do not fail in driving home the importance of ethics in the conduct of professional accountants and in making decisions by the professional accountants.

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## Firm Characteristics and Corporate Social Responsibility Practices in Nigerian Listed Firms: An Empirical Investigation

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**Keywords:** Corporate social responsibility; Sustainable development; Organisation's performance.

**Abstract.** In recent past, Corporate Social Responsibility has been a fundamental subject of discussion in academic literatures because of its vital contribution to sustainable development. In line with this assertion, this study assessed the corporate social responsibility (CSR) performances of listed companies on the Nigerian Stock Exchange (NSE). A cross-sectional research design was adopted for the study and secondary data compiled from the annual reports of those companies were used for the analysis. The study employed multiple regression estimation technique to analyse the CSR ratings of sixteen (16) companies used as the basis of investigation. The study found that while market capitalization had a positive significant relationship with corporate social responsibility practice, period of existence on the listing of Nigerian Stock Exchange had a negative relationship. Also, the industrial goods sector had a positive significant relationship with CSR practice while the oil and gas sector had a significant negative relationship. It is therefore recommended that activist groups, NGOs and community leaders should be more dynamic to challenge organizations to do more for their communities.

### 1. Introduction

Corporate social responsibility has continued to dominate the discourse in academic researches. This has led to several debates in the global landscape especially as it relates to sustainable development. The human race has been challenged with several environmental issues such as climate change, Green House Gas (GHG) emissions among others. As a result of heavy deterioration of the human environment and natural resources, the United Nations initiated a move towards attenuating the disaster this might impose upon the human race and thus ameliorating the living standards of the populace. This led to the establishment of the Brundtland Commission which submitted a report in 1987 titled "Our Common future". This report was basically on sustainable development as a response to the challenge of climate change. Sustainable development is an attempt to combine growing concerns about a range of environmental issues with socio-economic issues (Hopwood, Bill, Mellor, Mary and O'Brien, Geoff, 2005).

It is in attempt to address these issues that the World Business Council for Sustainable Development (WBCSD) and the Business Action for Sustainable Development (BASD) were formed to promote sustainable development in host communities where businesses operate. However, sustainable development comprises of several components and one of such components is corporate social responsibility. CSR is defined as "the commitment of business to contribute to

sustainable economic development, working with employees, their families, local communities and the society at large to improve the quality of life in ways that are both good for business and development” (World Business Center on Sustainable development). Nonetheless, Leyira, Uwaoma and Olagunju (2011) argued that the goals of most corporate organizations are purely economic hence giving just a little attention to their corporate social responsibilities. On the contrary, in the view of Ugwunwanyi and Ekene (2016), “businesses are now realizing that in order to stay profitable in a rapidly changing environment, they would have to become socially responsible”.

However, CAMA 1990 38(1) encourage companies to commit part of their earnings towards social responsibility activities in the host community but the law did not state specifically the percentage to be contributed as well as the sanctions enforceable for non-compliance. This underscores why most companies may not give back to the society that contributes to their growth. The only expression of corporate social responsibility found in law is the Niger Delta Development Commission (NDDC) Acts S. 14 (3)(b) which provides that companies in the oil and gas industry should contribute 3% of its total budget to social responsibility activities in host company. While this amount seems ridiculous compared to what obtains in other climes, the question is, how many companies in the oil companies actually contribute up to this amount in social responsibility engagements? Statistical evidence gathered from the four (2012 -2015) year financial reports of some companies under review shows that Nestle Plc contributed an average of 0.2% of its profit after tax to CSR, Nigeria Breweries = 0.25%, Dangote = 0.375%, Mobil approx. 0.2% while Lafarge which appears to be the highest contributor among the companies sampled recorded 1.275% as a percentage of its CSR contribution to PAT. Hence, this study investigated the firm characteristics and corporate social responsibility practice in Nigerian listed companies. The main objective of this study is to ascertain the relationship between firm characteristics and corporate social responsibility practices in Nigerian listed firms.

## **2. Literature review and theoretical framework**

### **2.1 Stakeholder theory**

Stakeholder theory argues that there are several parties that demand the attention of management of organizations apart from its shareholders. These parties include government and its agencies, political groups, trade associations, trade unions, communities, financiers, suppliers, employees, and customers. According to (Jill, 2004), the impact of companies operations on their immediate and remote environment are enormous, hence they should be held accountable to other stakeholders aside their shareholders. Oyewo and Badejo (2014) opined that in recognition of the fact that organizations exist because the society exists justifies why companies are expected to give back to the society thereby rationalizing organisations’ involvement in social responsibilities.

### **2.2 Social contract theory**

The theory proposed that there is a contract binding the government to discharge her statutory functions once the governed perform their duties by paying their taxes. Thomas Hobbes viewed the contract as being between the people and the constituted authority (Shaapera, 2015).

### **2.3 Institutional theory**

This theory expounds social and economic views around an organization. Three mechanisms of institutional isomorphic change were identified by (DiMaggio and Powell (1983) include coercive, mimetic and normative isomorphism.

### **2.4 Empirical reviews**

Oyewo and Badejo (2014) investigated the influence of firm characteristics on the practice of corporate social responsibility by banks in Nigeria using twelve (12) banks and found that size and profitability do not significantly influence whether an entity practices corporate social

responsibility. The study also examined whether the practice of corporate social responsibility significantly differs among banks studied and the result revealed that CSR practices in the banks do not differ. The study opined that CSR is more of an organizational policy than firm characteristics. Ndu and Agbonifoh (2014) examined the level of corporate social responsibility being enjoyed by residents of Niger Delta region of Nigeria as well as the factors limiting the practice of the corporate social responsibility. The study was carried out using a survey research design via administration of questionnaires, interviews and observations. The result showed the region is not experiencing development vis-à-vis the rate at which petroleum exploration is taking place. It is also inferred from the focus group discussions that multinational companies operating in the region concentrate more on rendering high returns to the government at the expense of the host community where the exploration takes place. Ijaiya (2014) also investigated the challenges of corporate social responsibility in the Niger Delta region of Nigeria and found that the region has continually suffered from environmental neglect, disintegrating infrastructures and services, high unemployment, social deprivation, abject poverty and endemic conflict.

Adeyemo, Oyebamiji and Alimi, (2013) examined factors influencing corporate social responsibility in five (5) manufacturing companies in Nigeria and found competition, employees demand, government policy, organizational culture and customer demand as the main influences of corporate social responsibility. Farouk and Hassan (2013) investigated the predictors of corporate social responsibilities in thirteen (13) deposit money banks in Nigeria and found dividend paid, institutional ownership, firm growth (change in total assets) and leverage as the significant factors influencing the practice of CSR. Amaeshi, Adi, Ogbechie and Amao (2006) explored the content and context of the practice of corporate social responsibility in the Nigerian landscape using home grown firms. The findings revealed that corporate social responsibility was practiced as a variant of philanthropy with a focus to solve socio-economic dilemma facing the nation. The study also found corporate social responsibility is practiced by the firms studied as a localised phenomenon where many of those entities have contributed to solving socio-economic issues.

### 3. Methodology

The study employed secondary data extracted from the annual reports of the companies which spanned over a four (4) year period from 2012 to 2015. The period covered was because 1<sup>st</sup> of January 2012 was the period where all quoted companies in Nigeria were required to present their financial statements using International Financial Reporting Standards (IFRS). This implies that all the companies used uniform reporting standards which could enhance comparability. Multiple regression analysis was employed to analyse the data. This method is employed where there is one dependent variable and more than two independent variables.

The design adopted for the study is ex-post research design. This design is appropriate for studies examining several sample units over time. The population for the study comprised of all listed companies on the Nigerian Stock Exchange. Two companies were selected from eight of the sector classifications in the listings of the Nigerian Stock Exchange. The companies selected were the most capitalized companies of the sector as at the 31<sup>st</sup> of December, 2015.

#### 3.1 Definition of variables

The variables included in this study were market capitalization, industry category of the company, existence of listing on the Nigerian Stock Exchange, and turnover of the company. Market capitalization is calculated as the product of share price and no of shares in issue as at the 31<sup>st</sup> December of each year.

#### 3.2 Model specification

The model for the study is specified thus;

$$CSR_{AMT} = f(MKTCAP, IND, AGENSE, T/OVER, u) \dots\dots\dots (1)$$

This was reconstructed in regression form as;

$$\ln\text{CSRAMT}_{it} = \beta_0 + \beta_1\ln\text{T/OVER}_{it} + \beta_2\ln\text{MKTCAP}_{it} + \beta_3\text{AGENSE} + \beta_4\text{IND}^*_{it} + u_{it} \dots \quad (2)$$

IND\*<sub>it</sub> = consumer goods, industrial goods, conglomerate, financial services, oil and gas, health, construction and agric sectors

Where

S/N	ABBREVIATION/SYMBOL	EXPLANATION OF VARIABLE
1	CSRAMT	Amount spent on corporate social responsibility as reflected in the financial report.
2.	MKTCAP	Market Capitalization. This is derived by multiplying the share price with the number of shares in issue.
3.	IND	Industry category. This is used to classify the companies into different sectors like consumer goods, industrial goods, oil and gas etc
4.	AGENSE	Date of Listing on the floor of the Nigerian Stock Exchange.
5.	T/OVER	Turnover. This is calculated as sales minus cost of goods sold before operating expenses.
6	U	Error term or disturbances. This is used to represent the variables not captured in the model.
7	$\beta_0$	Is the constant. This figure does not change along with the independent variables.
8	$\beta_1, \dots, \beta_4$	Coefficients of the variables.
9	$i = 1, \dots, 16$	Is the company identifier
10	$t = 1, \dots, 4$	Is the time dimension

#### 4. Results and discussions

##### 4.1 Analysis of results

Firstly, to justify the use of the regression model above, the data was normalised by using the logarithm of CSR data, turnover and market capitalization. Hence the reason for equation (2).

Tab.1 Presentation of results

	0.1638	0.1634	0.2401	0.1172	0.2448	0.1656	0.218
Inturnover	0.2640	0.2370	0.3810	0.4500	0.0870	0.2590	0.148
	0.8329	0.7311	0.7644	0.7695	0.7046	0.8371	0.747
lnmarketcap	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.000
	-0.0798	-0.0820	-0.0830	-0.0735	-0.0693	-0.0839	-0.085
agense	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.000
	-0.3452						
consogs	0.6070						
		1.3164					
indstrialgds		0.0280					
			0.3371				
cong			0.7700				
				0.6522			
finserv				0.3410			
					-1.3305		
oilgas					0.0280		
						0.2528	
health						0.6840	
							-0.660
construction							0.289
agric							
	-5.8478	-3.3899	-5.9894	-3.3785	-4.6713	-5.9911	-4.852
cons	0.0730	0.2550	0.1290	0.3450	0.1060	0.0910	0.109
R-sq	0.6646	0.6993	0.6635	0.6704	0.7000	0.6637	0.671
F Stat	21.0000	24.5800	20.8600	21.4800	24.5800	20.9200	21.640
prob	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.000

## 4.2 Discussion of results

The significant variables in this study were market capitalization (+), length of existence on the Nigerian Stock Exchange (-), industrial goods sector (+) and oil and gas sector (-). The positive and significant relationship between market capitalization and corporate social responsibility practice is in line with normative isomorphism where an organization engage in such practices on a voluntary basis. There is no regulation requiring her to do so. The negative and significant relationship between length of existence on NSE and corporate social responsibility practice is in line with normative isomorphism where an organization decide not to engage in such practices as an organizational policy. Also, it could be as a result of mimetic isomorphism whereby the listed companies imitate their competitors by not engaging in CSR.

However, there is a negative but significant relationship between oil and gas sector and corporate social responsibility practice. Studies (Ijaiya, 2014; Ndu and Agbonifoh, 2014) have shown that multinational companies involved in petroleum exploration don't really involve in CSR especially in environmental protection. This relationship shows that this sector adopts the social contract theory.

## 5. Conclusions and recommendations

The objective of this paper is to ascertain the relationship between firm characteristics and corporate social responsibility practices in Nigerian listed firms. The significant variables in this study were market capitalization (+), length of existence on the Nigerian Stock Exchange (-), industrial goods sector (+) and oil and gas sector (-). The study recommends that activist groups, NGOs and community leaders should challenge organizations to do more for their communities. Citizens should be aware of their rights and this awareness could be promoted by the government at all levels. Government must be more accountable to the people. Also, Government should set up a special recognition procedure in relation to performance of CSR.

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## A Study Combing TRIZ and IPA to Evaluate Satisfaction of Aging Education for Volunteers at Aged Care Facilities

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**Keywords:** Volunteer; Aging education; TRIZ; Important performance analysis: IPA.

**Abstract.** The older population is gradually increasing, and people are living longer than before. Taiwan is an aging society country according to the standard of UN. Young people have a great fear of their aging and result in a phenomenon of geritophobia. Aging Education is used to promote to establish correct knowledge, attitude and skill of aging. One of the aims is to get rid of aging and negative impressions of old person. This research combines TRIZ and IPA mode to evaluate the satisfaction of aging education taught by volunteers at aged care facilities. Significant results were as followed. (1) Satisfaction degree bigger than 4.0 including : Questionnaire A- Running efficiency of education facility , Questionnaire B-Professional ability of instructor or service personnel, Questionnaire F- Listening to the opinions of course participants, and Questionnaire H- Individualized services. (2) Item need to be improved: Questionnaire C- Content of teaching could provide clear information.

### 1. Introduction

Taiwan one of is the most rapid population aging countries of the world. It has become an aging society since 1993. Population ageing is widespread across the world. People usually concern about negative impression, while facing aging population problem. They treat seniors as non-productive persons. They just ignore positive dimension of seniors (Kao and Liu, 2016). According to the transition of culture and development of social economy, people always emphasize on youth, growth, progression, activity, and competition. Social status of seniors is declining gradually. They lose respect from agricultural society (Huang, 2011).

The incorrect and prejudicial concept of aging population suffers not only seniors but also young people. Young people discriminate seniors with negative impression directed by the prejudice. This result young people to fear aging themselves and lead to a phenomenon called” geritophobia,” (Huang, 2009.)

The attitude of society to seniors and perception of aging deeply affect enacting senior policy and interactive mode between generations. That also affects young people with active attitude or negative impression to face seniors (Shu and Chen, 2016.) Confronted with the problem of aging population, scholars concern about issues of long-term care, aging education, and successful aging (Huang, 2011.)

The volunteers of an aged care facility can promote competency via practical and experiential training of aging education. The ability of volunteers will affect result and interest of the students

while learning aging education. Under the circumstances, this study uses TRIZ education training parameters combined with satisfaction and Important Performance Analysis (IPA) to discuss the satisfaction and importance of aging education curriculum from students taught by volunteers of the aged care facility.

## 2. Research method

Palmore indicated that knowledge of aging is understanding of physical, psychological, and social, factors related to aging ( Palmore, 1977.). Stedman noted that ageing is the process of becoming older. Ageing represents the accumulation of changes in a human being encompassing physical, psychological, and social change (Stedman, 1983.) Hwang also indicated knowledge of aging is the related concept with aging process including physical aging, psychological aging, and social aging (Hwang, 2006.) Wu indicated knowledge of aging as an individual acquire aging related information via learning or experience (Wu, 2011.)

Based on Juran et al. (1974), the effect and impact of service quality on customers are, as follows: (1) Internal qualities are invisible quality for customers. (2) Hardware qualities are visible quality for customers. (3) Software qualities are visible software quality for customers. (4) Time promptness is service time and fastness. (5) Psychological quality is the quality of polite response and friendliness. It is usually used as a good tool to measure the attitude and mental state of service personnel to customers, and their basic attitude to them. Lehtinen and Lehtinen (1982) classified service quality, as follows: (1) Physical quality. (2) Interactive quality. (3) Corporate quality. Albrecht and Bradford (1990) suggested that service quality is the degree of a thing and experience to match a person's need or increased value. Wakefield (2001) indicated that service quality is the gap between expected service and perceived service, including tangible and intangible services. In order to simplify the primary structure and evaluate the reliability and validity of these dimensions, Parasuaman, Zeithaml, and Berry (1985) reduced the dimensions of service quality into tangibles, reliability, responsiveness, assurance, and empathy.

IPA treats the total mean of importance and satisfaction as the division point of a two-dimensional matrix. Importance is the X axis and satisfaction is the Y axis, and there are four quadrants in this two-dimensional matrix. According to the scoring of quality properties, product/service falls into four quadrants, which further propose the strategic concerns of specific properties (Martilla and James, 1977). Based on the quadrants of quality properties, managers can recognize the service quality properties of companies as advantages or disadvantages.

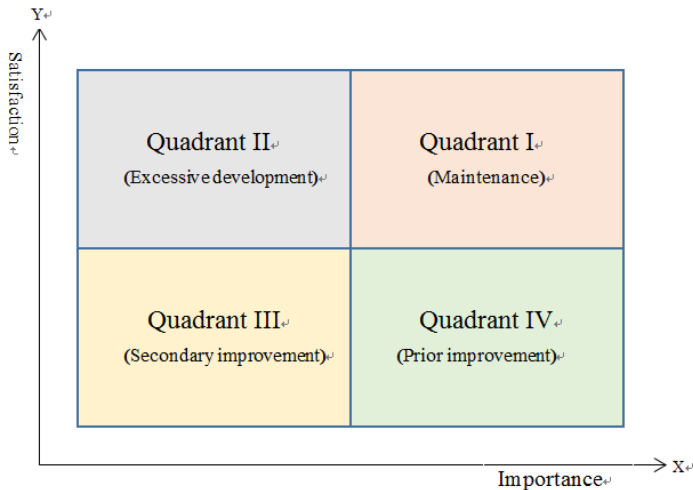


Fig.1 Importance-satisfaction matrix



### 3. Methodology

The questionnaire design of this study was referred to suggestion of Etherington (2002), and interviewed with scholars and exporter in training. Finally, the service technology of training was induced. The outcomes were matched pairs with TRIZ-based service parameters and developed into 8 correspondent training questionnaires. This study evinces high quality of scale after testified. Therefore, the questionnaire scale of training satisfaction used to evaluate aging education for students. This study discusses about aging education with practical and experiential training on trainees to analyze and understand the differences between satisfaction and importance. So, questionnaires are hand out by researchers for students who take practical and experiential training of aging education.

The questionnaires of this study are divided into two parts: importance and performance. There are 8 questions in each part, shown as fig. 1. Five point measuring scale method is adopted and the sequence of importance and performance is: “very unimportant,” “unimportant,” “ordinary,” “important,” and “very important.” Transferring to scoring method is 1point, 2 points, 3 points, 4 points, and 5 points.

The questionnaires design of this study was referred to suggestion of Etherington (2002), and interviewed with scholars and exporter in training. Finally, we induced the service technology of training. The outcomes were matched pairs with TRIZ-based service parameters and developed into 8 correspondent training questionnaires. This study evinces high quality of scale after testified. Therefore, the questionnaire scale of training satisfaction used to evaluate aging education for students. This study discusses about aging education with practical and experiential training on students to analyze and understand the deference between satisfaction and importance. So, questionnaires are hand out by researchers for students who take practical and experiential training of aging education.

Tab.1 Measuring questionnaires for practical and experiential training of aging education

Number	Origen TRIZ attributes	Service parameter attributes	Training service parameter attributes
1	Velocity	Responses	Running efficiency of training organization
2	Strength	Professional competence	Professional competence of instructors
3	Brightness	Environmental quality	Providing clear information
4	Power	Exertion	Service and attitude of instructors
5	Reliability	Reliability	Reliability of service offered by instructors
6	Accuracy of measurement	Communication	Listening students' voice
7	Repairability	Service competence	Responses ability of instructors
8	Adaptability	Flexibility	Personalized service

### 4. Results

Questionnaire distribution in this study lasted from October 1 to December 31, 2016. The handing out place was at a training classroom of an insurance company taking curriculum of aging education. There were 180 questionnaires distributed. After eliminating items with incomplete or repetitive responses, this study obtains 163 valid questionnaires. Regarding the gender of the subjects, females are (72.4%) and males are (27.6%). Regarding age, most are aged 41-50 and percentage is 49.6%; regarding education, most are senior high school, and the percentage is 57.9%.

The reliability of the study has been measured on questionnaire of experiential curriculum of aging education. The values of Cronbach's  $\alpha$  are between 0.792 and 0.891 at the importance part and between 0.775 and 0.879 at the other part of satisfaction. By convention, a Cronbach's  $\alpha > 0.70$  is considered acceptable reliability. It indicates that the reliability of all the variables is acceptable. Therefore, the measuring questionnaire of this research is with adequate consistency. The questionnaires was also referred and modified from the research results and suggestion of experts and scholars. That indicates it is also with good degree of strictness and consistency.

The study adopts IPA analysis. First step is to set up central point by average values of Importance and satisfaction respect. Importance is the X axis and satisfaction is the Y axis, and

there are four quadrants in this two-dimensional matrix. In this case, central point (3.83, 3.96) consists of the average value of importance 3.83 at X axis and average value of satisfaction 3.96 at Y axis as fig. 2. In order to understand the importance and practical performance of practical and experiential training on trainees about aging education, the analyzed values of all items are listed and shown as table2.

Tab.2 The analyzed values importance and performance values for all Items

Item	Importance (average)	Satisfaction (average)
A. Running efficiency of training organization	3.55	4.36
B. Professional competence of instructors	4.31	4.37
C. Providing clear information	3.92	3.84
D. Service and attitude of instructors	3.68	3.65
E. Reliability of service offered by instructors	3.39	3.42
F. Listening students' voice	3.95	4.01
G. Responses ability of instructors	3.75	3.99
H. Personalized service	4.12	4.07
	Total average	Total average
	3.83	3.96

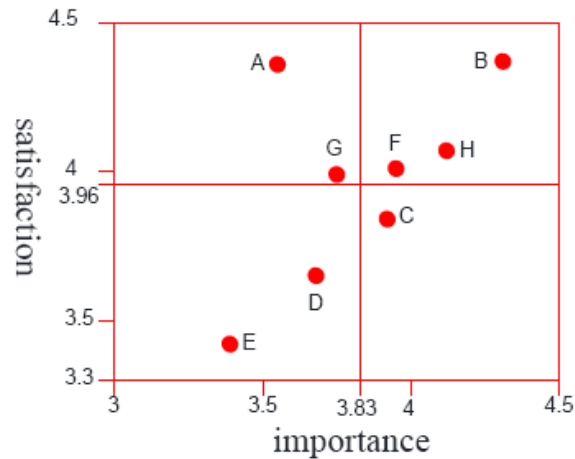


Fig.2 Importance-satisfaction matrix

### 5. Conclusions

A total number of 180 questionnaires were sent to the research subjects. The count of received questionnaires is 163. Research subjects are the trainees in business of insurance taking experiential curriculum of aging education. The questionnaires were analyzed and induced to 4 quadrants via IPA to understand what curriculums of aging education are the most important and need to be improved for the trainees in business of insurance.

Total three items are regarded as most important and needful by trainees about aging education. One of them” B. Professional competence of tutors” has the highest valve of importance and satisfaction. It means that trainees really want to acquire real knowledge and technology to get rid of geritophobia and negative impressions of old persons. It also can help young people to face aging and sympathize with seniors. The item needed to be improved first is “C. Providing clear information.” Owing to hand out teaching materials at classroom, trainees cannot preview lessons before class. Instructors could pose all teaching materials on web. Trainees will have enough time to preview teaching materials and acquire adequate information to match aim of training.

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**Chapter 4:**  
**Language and Literature**



## Self-replicating Audiovisual Project in the Read & Write Culture Context

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**Keywords:** Audiovisual; Creativity; Read & write culture; Self-replicating; Virality.

**Abstract.** The *read & write culture* has created a cultural and communicative model that invites participation and breaks the unidirectional transceiver and / or producer-consumer. The read & write model fits perfectly into the current digital culture and is essential to upgrade the educational system in arts. Thus, after the analysis of the main features of this cultural model, our main purpose is to develop a collaborative video project in the classroom that has the ability to be self-replicated by anyone who assume its characteristics anywhere in the world. To this end, a group of five students were invited to propose and develop five projects under five guidelines or moments given by teachers. These projects enabled students to ask questions about the stories that could be counted, encouraging creative ability (through the exercise of asking questions) and the equal sharing of tasks. This model allowed the students to be part in all the responsibilities: writer, director, camera operator and actor. The projects used *read & write culture* as a cultural reference, *transdisciplinarity* as an organizational model, the *open & free sources* as a means and *copyleft* as a expansive method.

### 1. Introduction

The technological revolution nowadays is generating abrupt changes in socio cultural relations. Thus, technological, economic, and socio-cultural factors <sup>[1]</sup> are making a change of paradigm that begun with the end of the mass media. Amid the context of technological transformation, the consumer changed mainly from a passive to an active being, -the so called prosumer- <sup>[2]</sup>, and the turning of the communicative act in a constant feedback of information. It is a culture in which people participate directly in the creation and recreation of itself; a creative culture of active experience that allows to enrich the communicative activity: read & write culture.

This paradigm shift –already theorized by various experts such as Lawrence Lessig <sup>[3]</sup> - is headed by a new generation of native digital holders of new media and cohabitants of new platforms of virtual character. They are also builders of new meeting spaces for creative purposes, for collaborative production and for open communication as media-labs. This reality matches with the characteristics of the practices implemented in virtual platforms <sup>[4]</sup> where a new generation develops a creative production of high interest, typical of the emerging digital culture.

But this reality diverges from the artistic participation proposals developed in the Academy. The University traditionally has promoted an art with a high degree of endogamy that prevents to look beyond of the own academic territory. Thus, in the context of the current art education, when university seems not to have assumed these transformations, could they be implemented? What specific methodology can collect the new features and slogans of the read & write culture and

digital culture?

## 2. Methods and materials

### 2.1 Justification

One of the main strengths of this project is that it has combined a more traditional practice of teaching in the field of audiovisual production with the changing cultural paradigm of the read & write culture. On the one hand, this method has a mechanical and bricolage character -at which the theoretical Fredric Jameson qualifies as a utopian operation <sup>[5]</sup> and can illustrate our approach and use of this methodology of teaching.

On the other hand, it has features of the new technologies that allow their dissemination and their appropriation and improvement:

- It is easily reproducible, it has a character of mass proliferation, which today is often called viral nature.
- The teaching method we propose is associated to facilitate tools and artistic languages and audiovisual production devoted to all kinds of people, without the necessity of passing through the hands of experts. In this sense, support the concept of equality, since it considers that everyone is able to use it.

### 2.2 Objectives

- To Analyze the main features of the read & write culture.
- To Update audiovisual educational methodology by implementing the features of the read & write culture in the project.
- Develop a collaborative film project in the classroom which be self-replicable by anyone anywhere in the world to integrate the above features.

### 2.3 Methodology

Five students will develop five audiovisual projects. Each of the students will develop a script that must meet five guidelines:

- a) 2 people
- b) A public space
- c) A consumption (any substance, food, drink, etc.)
- d) A third person appears.
- e) A conflict happens.



Fig.1 Teaching guidelines

The sequence of these five guidelines generate in students the ability to ask questions, which is essential in the development of creative intelligence.

Each story was recorded in one day and all of them participated. All students developed work of writer / director, cameraman, actor and postproduction. After recording, he carried out the assembly and the results were shared.

### 3. Results

The five projects produced had the following characteristics:

- There was no main responsible. All opinions expressed by the students were taken into account – whether or not they be implemented in each of the projects- and a pseudonym was used to identify each project. The transdisciplinarity was applied as an organizational model.
- All media used in the production and postproduction were free. For example, in assembling the audiovisual the following were used: Avidemux, Cinelerra, OpenShot Video Editor and VirtualDub.
- After the post-production, audiovisual projects were shared on free platforms and Creative Commons. We invited viewers to copy their own projects, to combine and transform or make and share them equally (under the same license CC by NC).

### 4. Discussion

#### 4.1 Transdisciplinarity: organizational model

Interdisciplinarity was the organizational model linked to modernity. In the interdisciplinarity, various disciplines solve problems in a field of common action. However, the transdisciplinary model goes one step further because it combines disciplinary epistemologies of greater force. This means that combination of new horizons may be possible beyond existing paradigms, or may transcend existing paradigms within isolated disciplines. Transdisciplinarity is a conscious attempt to overcome the problems where disciplinary modes are ineffective. No hierarchies are established and there is a mood of anonymity growth after the project itself.

It is imperative to develop an audiovisual project in the context of the read & write culture which can be self-replicating and run by the transdisciplinary organizational model, because individualism is avoided.

#### 4.2 Open & free sources: creative media

The relationship between artistic creation and technological tools during the second half of the twentieth century was characterized by the acquisition by artists of tools with closed licenses and trademarks. This was the result of a bitter patent war that was being increased after the Second Industrial Revolution and was combined with the tougher intellectual property laws.

The 60s brought the automatic machine, in this case and in relation to the video brought too the Sony Portapak which Andy Warhol, among others, used as a recording medium reality of The Factory and the concept of *video verité*.

But it was not until the eighties when appeared a community movement of open sources, that is, resources whose codes and licenses are publicly accessible. Thus, organizations like the Free Software Foundation, created in 1985 by Richard Stallman, were decisive for the development of this essential axis.

Any audiovisual project that seeks to implement participatory cultural processes linked to the read & write culture model, and to develop cross-disciplinary organizations, should implement and promote the use and development of open source as far as they are the only ones that can generate community commitment.

#### 4.3 Copyleft: expansive method

Is it possible to accept restrictive copyright practices when we talk about stimulation and dissemination of knowledge through participatory culture?

The concepts of copyright and intellectual property were used for the first time in the Baroque England with the 1710 Statute of Anne -a law for the promotion of knowledge- which appeared collected in a system of legal characteristics of what is now known as intellectual property. From here, this type of law will be extended, as the Law on Copyright of 1790 in the US.

In the nineteenth century, with the expansion of the capitalist system, and in the search for



motivations and incentives that will enable the acceleration of technology, legislation in this regard became increasingly protective and restrictive. Among the legislative measures we find the Paris Convention for the Protection of Industrial Property of 1883 and the international treaty of the Berne Convention for the Protection of Literary and Artistic Works of 1886. These treaties in later years were continually revised. All legislation that was produced since then, allowed an author, without having to record their work and when it ends, acquires copyright. All this was the breeding ground for the massive enrichment of industries that have the more impact of the last century: the pharmaceutical, technological and cultural, covered and protected by the World Intellectual Property Organization, created in 1967.

But with the coming of the new century and thanks to the different movements that emerged in communities that have decided to use free software, the philosophy of copyleft was activated, a practice that aims to offer to the author the option to facilitate the free movement of copies of their intellectual work. All this social phenomena significantly hardens the debate on the price of the dissemination of knowledge. Increasingly appears projects, in the first instance in the red- wich were born with a participatory spirit, and therefore as an expansive fact that only could be sustained on the concept of copyleft. In this regard, it is noteworthy the large increase in recent years of digital repositories of works, images, articles, publications and intellectual work in general, which are placed at the service of knowledge without ownership restrictions. This practice, which have joined universities, museums and organizations linked to the world of culture and knowledge, reveals a paradigm shift in which intellectual property and copyright is concerned, and this has intervened great role the various licenses created in the XXI century as the Free Art License (2000) and the most widely used today, Creative Commons (2002), founded by Lawrence Lessig and noted for its extreme expansion and internationalization in recent years.

## 5. Conclusions

A methodology based on changing cultural model was implemented in the classroom. It was defined by the read & write culture, and based on training workshop.

An organizational change of the model happened: from interdisciplinarity to transdisciplinarity, emphasizing the work with focus groups and without leaderships.

A major transformation of the media characteristics took place, one which increased the highlighting of open sources (software and hardware) and the student improvement learning of using open & free sources.

An expansion of collective knowledge through copyleft took place and as a result of that all project materials should be published under copyleft or creative commons licenses.

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## A Dystopian Reading for *Forty Signs of Rain*

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**Keywords:** Dystopia; Ecological crisis; The relationship between science and capital.

**Abstract.** The paper elaborates the role and the significance of critical dystopian thoughts by interpreting Kim Stanley Robinson's *Forty Signs of Rain*, a near future science fiction, exploring the ecological crisis and relations between capital operation and intellectuals.

### 1. Introduction

Lyman Sargent holds that dystopia presents readers with a portrait of a much more awful society than that they inhabit. Dystopian Science fictions tend to depict severe conditions, disasters and crisis, exerting enormous influence on the society by giving warning and advice. Kim Stanley Robinson, who wins the Nebula Award and the Hugo Award repeatedly, excels in composing novels featuring the theme. Fredric Jameson suggests that, "the framework of crisis and catastrophe which structures so many of Kim Stanley Robinson's novels enables the deployment of an immense variety of ingenious and often utopian solutions, which merit study in their own right."<sup>[1]</sup> *Forty Signs of Rain*, the first book in his hard science fiction "Science in the Capital" trilogy, imagines the possibility of the near future, explores the ecological crisis' ties with capital science and politics, and achieves a sort of striking critical effect.

### 2. The near future crisis

In this novel, Robinson depicts global warming repeatedly based on scientific data and landscape such as "A fierce inundation of photons--on average 342 joules per second per square meters. And 4185 joules will raise the temperature of one kilogram of water by one degree C."<sup>[2]</sup> The polar glaciers break, the gray sky is covered with toxic substances, people suffer from depression and disorder resulting from lack of sunshine, sea levels rise, and numerous disasters including storms and floods strike the world continually. Apparently, all of this has indicated the global climatic crisis such as reoccurring intense cold and heat, heavy rains and smog, which leads to an incredibly high incidence of lung cancer and other severe diseases. The novel describes a worse situation: the annual industrial carbon emission in the United States amounts to 25 tons, exceeding 1.5 times as is required in the Kyoto Protocol and being still on the increase; new crises, like panic about nuclear wars, nuclear leak, nuclear contamination and nuclear radiation, are triggered by countries competing for the nuclear arms race; virus mutation, coupled with intensifying toxicity of toxic species, renders humans desperate for sophisticated biochemical and medical technologies. Robinson portrays the president of the United States as one crazy about the economy but indifferent to the crisis, intending to achieve ironic effect, and what's more, aiming to reveal that global warming reflects not only climatic change but also a complicated issue. Solar radiation intensifies and glaciers shrink as a result

of immense greenhouse gas emission caused by human activities, which considerably damages the ozone layer of the atmosphere. Evidently, human activity is the largest contributor to global warming. Then compared with natural environment, how is human society is going on?

Obviously, the ecological crisis stirs people's inner anxiety as well as fear that compels people to linger on the brink of the spiritual crisis. Robinson highlights the prospect of a new totalitarianism brought by transnational commerce and electronic communication systems. In the post-industrial society, people lose their autonomy and turn into passive creatures so entirely controlled by machines that they are confused and hesitant in consciousness, being distracted or disordered in behavior, with anxiety and doubt in psychology. The author defines the future as the prisoner's dilemma and tit for tat strategy:

*In traffic, at work, in relationships of every kind--social life was nothing but a series of prisoner's dilemmas. Compete or cooperate? Be selfish or generous? It would be best if you could always trust other players to cooperate, and safely practise always-generous; but in real life people did not turn out to earn that trust.*<sup>[2]</sup>

Biological powers have conquered people's social life. In the age of materialization, the social machine strengthens its function and power, thus producing the corresponding object and the subject that are unconsciously disciplined by the system of biological powers including machines and information and gradually reduced to being the capital prisoner. In the resulting mechanism, the relations between capital and science, between man and man, and between man and society form a prisoner's dilemma in disguise, where people feel like prisoners overwhelmed by dread and restlessness, meanwhile, they have desire and anxiety to alter the situation. The author, with the use of metaphor, reveals the negative effects that materialization exerts on the relations of production and subjectivity, interprets the realistic social crisis and human anxiety, and eventually proposes the solution.

### **3. The role of intellectuals in the capital operation**

As the main characters of the novel, intellectuals who engage in scientific and technological endeavours possess a keen eye for problems and figure them out, so they have an incredible influence on human production and evolution. Naturally, global disasters encourage individuals' increasing reliance on intellectuals and elites who are capable of bringing science into full play. As Robinson has stressed, now what has launched and is ongoing is a massive, global, historic battle between science and capital. Science insists every day that climate change is a real danger, while capitalism disagrees. "The capitalist entrepreneur creates alongside himself the industrial technician, the specialist in political economy, the organisers of a new culture, of a new legal system, etc."<sup>[3]</sup> Despite the fact that intellectuals represent the advanced labor force, most of them have become a tool for capitalist enterprises to seek profit and power.

Science and technology covering information technology and network, the index of social relations, creates a fresh collectivity without being restricted by time, space and staffing. Technological determinists hold that the advantage of technology lies in its profitability, but fails to resolve the contradiction between the capitalist economic order and scientific and technological development. For instance, the "science credit" fund mentioned in the novel symbolizes the fact that credit relations drive intellectuals into the market competition and further prisoners' dilemma, where once sponsored, they are more liable to anxiety and materialization. The foundation aims to develop military weapons and commit itself to commercial boom, so how can it provide credit support for tackling environmental crisis? The highly regarded commercial production deepens the materialization by multiplying consumers. In the meantime, human greed stimulates rapid capital expansion which leads to ecological deterioration. Focus as the environmental protection project is, it turns out a barrier to natural conservation because capital operation makes the relationship between

the government and scientific research institutes the union of mutual control and cooperation. Consequently, the fault of the system becomes visible: the tiny minority of folks enjoy fabulous wealth, while the majority live in poverty, and Robinson calls this capitalism with sarcasm. Such an ironic comment also reflects the significant role of capital in the process of globalization. Hence, the mankind, to resolve the crisis, finds it indispensable to resist the mechanism of capital operation in addition to introducing new ecological ethics.

The mechanism, through the dystopian narrative, unfolds in the following aspects. Rainstorms set off a chain of crisis like various failures, money transfer, stock market stagnation, network breakdown, folks losing contact with the outside world, the damaged collectivity based on the mentioned contact and the resulting greatly weakened collective ability to combat disasters. Undoubtedly, these alarming signs indicate the vicious factors and consequences that hinder the construction of utopia and demonstrate the logic behind the ideology of utopia from a critical perspective. Jameson stated, "Regarding the special cases of postmodern antinomy, in which the dystopian things turn into utopian ones in the most basic sense, the contrary do convert into the identical."<sup>[4]</sup> Having looked at the utopia vision submerged in the nasty situation, Robinson points out that science can be seen as an endeavor to seek solutions, ignored but powerful utopia politics as well as the source of hope. After the Enlightenment, human beings have established total supremacy over the irrational life and developed anthropocentrism. Subsequently, commercialization causes excessive consumption so that consumers accelerate capitalization unconsciously, thus global disasters emerge. Confronting the bad situation where hedonism prevails and collective practices fail, Robinson brings forward the utopia "altruism", claiming humans will re-examine the existing mechanism and scientific ideology, and reflect on the overall interests of ecology if they see the inner link between science and ecology, and become aware that the pursuit of capital will throw them into the prisoner's dilemma.

#### 4. Summary

Robinson's narrative finds an access to utopia in personal stories: an individual, through the cultivation of a new emotional structure, is oriented to political participation and collective activities that reforms demand. Robinson, aiming to make scientific research independent and fight materialization, turns the new emotional structure into utopia impulse and proposes the solution of "altruism" in the name of intellectuals:

*You should assign up to fifty per cent of NSF's budget every year to the biggest outstanding problem you can identify, in this case catastrophic climate change, and direct the scientific community to attack and solve it...funded by the government to go after particular problems.<sup>[2]</sup>*

His recommended strategy embraces financial support for the work on reduction of carbon emissions, development of hydrogen fuel, discovery of new energy resources, carbon capture, exploration of deep geothermal energy and tidal power generation besides funding for basic research on climate, emergency strategy, global limits and establishment of global disaster information network. Virtually, the strategy has to be fulfilled through collective efforts. Although it cannot be accomplished as is expected, it is of great significance.

Dystopian narration in *Forty Signs of Rain* along with the resulting utopia impulse is of symbolic importance and a worthy lesson to the real world. Admittedly, utopia criticizes reality rather than acting as an ideal society model. Dystopia depiction in the novel, exposing capital's barbaric destruction of nature, predicting possible disasters in the near future and reminding men to avoid and convert the factors that have detrimental effects, makes the public aware of the potential anxiety and fear haunting the world and the root of them. Nevertheless, contrary to the conventional dystopia, the fiction manifests the complexity of the contradiction and postmodern antinomy, unveiling underlying issues of free market economy and capitalism. Dystopia is likely to exist even if the crisis of

environment and climate is eased. Indeed, the contradiction between utopia impulse and the internal logic of capital constitutes a big part of Robinson's dystopia. This piece of writing, as a warning as well as an analysis of possible solutions, is a work of critical dystopia which offers insight into various people's anxiety aroused by ecological crisis and describes the way intellectuals' attitude toward capital decides scientific impact on social life. In summary, Robinson's critical thinking deepens individuals' understanding of reality and strengthens their sense of crisis, urgency and mission in terms of ecological degradation, stressing that intellectuals, with the principle of democracy featuring the overall interests of the people, should play their positive social role, employ science and technology to nip the evil in the bud, and probe into the likelihood of economic model and social system heading for ecologically sustainable development.

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## The Turn of the Meaning of Truth: A Pragmatic Reading of *The Turn of the Screw*

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**Keywords:** *The Turn of the Screw*; Pragmatism; Pragmatic truth; The fixation of belief; The fallacy of absolute truth.

**Abstract.** Published in 1898, Henry James's *The Turn of the Screw* tells an anonymous governess's bizarre story at a country mansion. With its ambiguous plot and unexpected ending, this novella has aroused great critical controversy since its publication. Though early literary critics argue about the existence of the governess's ghost, recent scholars attempt to find new approaches to its textual open-endedness; few people interpret the novella from a pragmatic perspective. Since Henry James was influenced by contemporary philosophers like William James and C. S. Pierce, the pursuit of the governess's secret as a leading chain of experience accumulation, her fixation of belief on the habit of mind and her failure to grasp the final truth in the novella all illustrate his unique understanding of the pragmatic truth. To some extent, this psychologically realistic novella is Henry James's literary effort to respond to and resonate with the 19<sup>th</sup>-century philosophy of pragmatism.

### 1. Introduction

If readers were asked the question “what is the keyword of American literary Romanticism”, their answers may vary from imagination, nature, transcendentalism, dark romance to democracy. However, if they were asked to use one or two words to summarize American literary Realism, the majority will reach the consensus and utter the word “reality”. Indeed, the issue of reality plays an essential role in literary Realism. Almost all realist writers in the late 19<sup>th</sup>-century America attach great importance to the relationship between fiction and reality. While Mark Twain criticizes Romantic literary expression as inaccurate, non-lifelike, and with “no seeming of reality”<sup>[1]</sup>, W. D. Howells speaks highly of novels “true to the motives, the impulses, the principles that shape the life of actual men and women”<sup>[2]</sup>, Henry James seems to hold a quite different attitude. Unlike contemporary novelists who place reality as the setting or backdrop of their literary creation, James sinks deep and probes into the very nature of reality. Following what William James calls the philosophy of pragmatism, he considers reality as a leading process of accumulated experiences and regards truth as an expedient habit of mind. Though less apparent in James's international novels and much neglected by Jamesian critics, the lesser-known gothic novella *The Turn of the Screw* (1898) invites potential readers to venture into his epistemological land of truth and reality.

Based on the narration of an anonymous governess, *The Turn of the Screw* tells her weird story of living in a big country house and encountering two “ghosts” who attempt to corrupt her innocent pupils. Given the novella's incoherent plots, ambiguous clues, and sudden conclusion, it has aroused great critical controversy since its publication. Centering on the possible existence of the governess's ghosts, early literary critics diverge into two camps. Represented by Robert Heilman, the metaphysical or moral camp sees the governess as a heroic savior struggling for the salvation of a world threatened by supernatural evil; whereas the psychoanalytical camp, led by Edmund Wilson,

points out that the ghost is merely the governess's hallucination in a psychopathic state caused by repressed sexual desire. As time goes by, Jamesian critics begin to realize that whether the ghosts exist is not that important. Since James's text itself invites incompatible understandings and interpretations, studies on the governess's status incongruence in the 19<sup>th</sup> century, her cognitive selfhood and the constructive nature of memory, her sexual hysteria and the physiognomical stereotype of the "ghost" become popular in recent years. Despite all these insightful and inspiring approaches, I believe that a pragmatic reading of this novella is still fresh. Just as Henry James writes in a letter to his brother William, "I was lost in the wonder of the extent to which all my life I have unconsciously pragmatized. I am with you, all along the line—and can conceive of no sense in any philosophy that is not yours" <sup>[3]</sup>, *The Turn of the Screw*, in fact, parallels with the 19<sup>th</sup>-century American pragmatism and best illustrates the author's understanding of what is truth and what constitutes truth.

## 2. The pursuit of truth as a leading chain of experience accumulation

To many readers' surprise, *The Turn of the Screw* begins on a Christmas Eve, with a circle of tenants gathering around the fire and telling ghost stories. Instead of the governess, the author and first-person narrator of her story, a second narrator Douglas, one of her old acquaintances, reminisces about her youthful days and serves as the teller of her manuscript, while a third narrator "I", as the final keeper of the document and the narrator of this novella, state the general background of the manuscript's writing, reading, recopying and retelling for years. Though this prologue seems a little bit irrelevant to the major story, it reveals Henry James's outstanding maneuvering of the narrative chain and his understanding of truth as a leading and continuous process.

For the readers who open up the novella, the general narrator "I" frankly admit that "I" am one of the tenants when "my" friend Douglas reads the manuscript. In order to learn the whole story, readers have to follow "my" step and situate them among the fictional audiences. To the audience sitting around the fire who are eager to hear the governess's horrible tale, however, Douglas has to postpone their fulfillment because "the story is written in old, faded ink in the most beautiful hand of the governess, and it is in a locked drawer—it has not been out for years" <sup>[4]</sup>. The only possible way to approach her secret is to wait patiently until Douglas writes a letter home with the drawer key and his servant sends the manuscript back. Though "I" adjure him to send a note back by the first post the next morning, Douglas waits until the second post. The manuscript arrives on the third day and Douglas's story-telling takes place on the night of the fourth day. Interestingly, the story is not finished within one night. Rather, the whole thing "takes indeed more nights" <sup>[5]</sup>. During the process, when it comes to primary questions like why she voluntarily takes the place of the recently dead former governess, whether the governess post contains certain danger to life, and she falls in love with whom, Douglas either gives vague answers like "the story will tell" <sup>[6]</sup> or defers the revelation of secrets till later nights. Following "I" and Douglas's long narrative contour, it is not until the end of the prologue that readers finally reach the governess's first-person narration.

Although many readers may find Henry James's narrative strategy knotty and perplexing, it seems to be fairly reasonable when seen from a pragmatic perspective. As William James argues in his lecture "Pragmatism's Conception of Truth" (1906), "truth is something essentially bound up with the way in which one moment in our experience may lead us towards other moments which it will be worth while to have been led to" <sup>[7]</sup>. To put it simply, the pursuit of truth, in the eyes of pragmatists, functions as a worthwhile leading process. Since pragmatic reality constitutes the sum total of changing and renewing world experiences, the pursuit of truth also undergoes an ongoing process of alteration and modification. Based on the accumulation and verification of developing experiences, the pragmatic truth is like an untrammelled river always flowing forward. Tactfully linking "I"-Douglas friendship with Douglas-governess acquaintanceship, Henry James creates a similar leading narrative chain in the novella's opening. In order to learn governess's true story, readers have to enter "my" narration first, then come to Douglas's retelling of the tale, and finally go into her own

manuscript. With “my” handing over the narrative stick to Douglas, Douglas’s intentional delay to let out the story, and the eventual appearance of the governess’s voice at the end of the prologue, Henry James leads potential readers to go through interlocking reading paths and head for the governess’s secret. Besides, Henry James’s narrative chain operates not as a horizontal transference from one narrator to another, say, multiple repetitions of a fixed story, but a vertically communicative and accumulative connection. While the governess’s original narration starts on her bumpy journey to the haunted country estate Bly, Douglas’s narration adds valuable information about what happens before her journey, such as her family background, her affection for the young master and her acceptance of the post on a strange condition. As for “my” narration, it not only implies the ambiguous relationship between Douglas and the governess but also entitles “The Turn of the Screw” to the otherwise nameless manuscript. Coinciding with the pragmatic understanding of reality, all the new information and experiences acquired in the leading narrative process help the novella readers better access the governess’s true story.

Nonetheless, the readers’ literary adventure never stop at the governess’s narration. Since her very story involves a desperate inquiry into Bly’s hidden secret, readers continuously set forth on her journey to unveil this mystery. Since the fictional truth concerns her young pupils’ moral corruption, the governess’s understanding of little Flora and Miles’s real disposition goes through a typical pragmatic apprehension of experienceable reality. When she first sees the beatific, radiant and angelic Flora, she considers the lovely girl as Raphael’s holy infant and a sweet cure to her homesickness. Once Miles comes back from school, she is totally overwhelmed by his “great glow of freshness, positive fragrance of purity” and “the indescribable little air of knowing nothing in the world but love”<sup>[8]</sup>. Enchanted by his charming and innocent appearance, the governess immediately refutes the boarding school headmaster’s accusation of his “injury to the others”<sup>[9]</sup> in the dismissal letter. However, as time goes by and daily experiences accumulate, the governess begins to realize that her sweet children are not that simple and naïve as they seem to be. Behind her back, they play dirty tricks, sneak out at late night, and manipulate things far beyond their power. When their misbehaviors are discovered, they even spout off curse words and pose direct threats to the governess. Astonished and disappointed, the governess concludes the scenario with a metaphor of season change. As she says in the middle of the tale, “the summer had turned and gone, the autumn had dropped upon Bly. The place, with its gray sky and withered garlands, its bared spaces and scattered dead leaves, was like a theater after the performance”<sup>[10]</sup>. Since reality, in the pragmatic thought, means experienceable reality or the accumulation of new experiences, new facts always emerge to falsify old beliefs and verify new understandings. Confronted with lately attained evidence and facts, the governess has to revise and reorganize her former judgments. Though her mood undergoes a melancholy swing in forsaking her old beliefs, she sees through Flora and Miles’s theatrical play, invalidates her old experiences, and walks a step further to the bare truth behind the curtain.

### **3. The fixation of belief as a habit of mind**

Given the governess’s new understanding of the children’s misconduct and transgression, several pivotal questions follow in. Why do Flora and Miles misbehave themselves at home and school? Have they been morally contaminated? Who has deprived of their innocence? These unintelligible puzzles make her restless in the day and tosses and turns at night. As C. S. Pierce, the founding father of the 19<sup>th</sup>-century American pragmatism, points out, doubt and belief are two states of human mind. Whereas belief is a calm and satisfactory state that “guides our desires and shape our actions”, doubt is an uneasy and dissatisfied state which “we struggle to free ourselves and pass into the state of belief”<sup>[11]</sup>. Thus, for the governess who is tormented in a sea of doubts, the only way to go ashore is to conduct an inquiry and figure out the exact reason of the children’s corruption. However, in her determination to find an absolute answer and reach a static mindset, she makes a serious mistake. Considering the state of belief as a convenient habit of mind, either constitutional or acquired, Peirce



further explain the mechanism of conviction, and poses a satirical question in his famous essay “The Fixation of Belief” (1877),

“If the settlement of opinion is the sole object of inquiry, and if belief is of the nature of a habit, why should we not attain the desired end, by taking any answer to a question, which we may fancy, and constantly reiterating it to ourselves, dwelling on all which may conduce to that belief, and learning to turn with contempt and hatred from anything which might disturb it”<sup>[12]</sup>?

Indeed, since the sole purpose of inquiry is to establish an opinion, what human beings cling to is “not merely believing, but to believing just what they do believe”<sup>[13]</sup>. In other words, once a certain belief is set up, human beings tend to regard it as a permanent truth and enjoy the comfortable state of mind it brings about, no matter whether the belief is true or false.

Now let us see how the governess adopts what Peirce criticizes as “the method of tenacity”, and forms a firm belief that the former butler and governess’ ghosts haunt and corrupt the children. Seen from the constitutional or psychological facet, the governess’s fixation of belief is perhaps caused by her unstable mind. It is easy for readers to notice the governess’s frequent hallucination, even before she meets her pupils. The first night on her arrival at Bly, she begins to hear “less natural birds twittering”, “the faint and far children crying” and “a light footstep before her door”<sup>[14]</sup>. Horrified by the first “appearance” of Quint’s ghost, she immediately dives into her fantasy and asks herself “is there a secret at Bly—a mystery of Udolpho or an insane, an insane, an unmentionable relative kept in unsuspected confinement”<sup>[15]</sup>, which implies her familiarity with contemporary female gothic literature. To some extent, the governess is a highly sensitive and imaginative girl, for whom the boundary between reality and imagination is blurring.

Aside from the governess’s erratic mental state, the socially acquired Victorian convention constitutes the other facet of her fixation of belief. Though readers may take the housekeeper’s recognition of the governess’s description of Quint and Miss Jessel as a verification of the ghosts’ existence, a closer look at how social conventions play tricks on mutual understandings proves their conclusion wrong. Frequently “seeing” Quint’s ghost and strongly believing his harmful influence on the children, the governess’s portrayal of the ghost remains a vague picture. Only a few words, like red hair, long face, small but sharp eyes, a sense of looking like an actor, a manner of pretending to be a gentleman and showing brutal male power, completes her image of the former butler. Given that the 19<sup>th</sup> century Europeans “were much intrigued by the theory that there exists in human nature a determinative relationship between physiognomical features and characters”<sup>[16]</sup>, the governess’s ghost is just another copy of the Victorian stereotype of evil man, indistinguishable from other villains in contemporary novels, such as Robinson in Fielding’s *Amelia* (1751) and Uriah Heep in Dickens’s *David Copperfield* (1850). No wonder, what Mrs. Grose recognizes in the governess’s depiction is not Quint as a man, but a collectively acknowledged social stereotype.

A similar phenomenon also occurs in Miss Jessel’s case. Although the governess tries to convince Mrs. Grose of the late Miss Jessel’s reappearance, her highly abstract descriptions like “a woman in black”, “extraordinary beauty” and “pale and dreadful face”<sup>[17]</sup> make the housekeep even more confused. Hardly specifying the general idea into any particular woman, Mrs. Grose keeps asking questions about “how she comes—from where”, “how can you be sure” and “how you know”<sup>[18]</sup>. It is not until the governess’s saying “she is infamous”<sup>[19]</sup> that Mrs. Grose connects her previous knowledge of Miss Jessel to the once ambiguous image. Considering Miss Jessel’s former affair with Quint, her premarital pregnancy and being cast away from Bly as a typical Victorian scandal and infamy, Mrs. Grose finally accept the governess’s opinion about the female ghost, regardless of the very mistake—how can the governess judges Miss Jessel as “infamous” from her countenance and apparel in their first “meeting”.

#### **4. The failure of the grasp of an absolute truth**

As can be seen from Pierce’s pragmatic mechanism of belief, following either constitutional or acquired habit of mind, the governess forms her belief that the ghosts of Quint and Miss Jessel cause

the young pupils' moral corrosion. However, once the belief is set up, the governess just stops her further exploration of the estate's secret. Staying in a sanguine but illusive state of mind that she possesses the truth, she regards her belief as a permanent answer, regardless of the very fact that the truths human beings gain from experienceable reality are "everlastingly in process of mutation—mutation towards a definite goal—but still mutation"<sup>[20]</sup>.

The governess's complacency on her own belief, needless to say, originates from her newly awakened self-esteem. As Douglas mentions in the prologue, the governess is the youngest daughter of a poor Hampshire vicar. Taking the governess's post at Bly is her first opportunity to go out and see the world. Overwhelmed by the unprecedented freedom and independence far away from home, the governess expresses her great satisfaction and excitement when seeing her own bedroom at first glance. Apart from the description of fully equipped furniture, she emphasizes "a long glass, in which, for the first time, she could see herself from head to foot"<sup>[21]</sup>. A small detail, though, this mirror image reveals the governess's sudden awareness of her authoritative self. As Lacan points out, "the mirror stage is a time when a small baby whose previous experience of the body is one of fragmentation, recognizes its image in the mirror and so gains a sense of wholeness and identity. But this experience of wholeness is undermined by an alien and alienating quality of the mirror image, which always remains irreducibly outside of, and different from, the self: the child, after all, does not yet experience the wholeness and completeness it sees in its mirror reflection"<sup>[22]</sup>.

In this mirror phase, the governess's once fragmented self, which suffers from "the eccentric nature of her father"<sup>[23]</sup>, finally confronts her complete and intact mirror image. Contented and proud, she begins to identify herself with the omnipotent mirror image and put great confidence on her understanding and judgment. Lost in her contemplation when she walks around the mansion the next day, she even imagines Bly as "a great drifting ship with a handful of passengers" and herself as the steersman "at the helm"<sup>[24]</sup>. Intoxicated by the newly gained self-assertive power, the governess fails to see the alienation of her mirror image and the limitation of her controlling power.

Despite all her self-contentment and self-satisfaction, the governess's belief meets its Waterloo at the story's bizarre end. For the governess's ghosts-corrupting-children belief still needs a final verification, namely the pupils' confession of their liaison with the ghosts, she desperately wants the children to speak out Quint and Miss Jessel's bad influence. Nevertheless, no matter how eager she implores them to reveal the secret, Flora and Miles refuse to utter a single word. As the contradiction between the governess and the children becomes increasingly intensified, the governess even forces little Miles to admit his relationship with Quint when she "sees" the male ghost once again from the kitchen window, which results in Miles's sudden fall and mysterious death in her arms.

Although readers for generations ask the same question "what indeed is the cause of Miles's sudden death" and give all kinds of interpretations, literally speaking, he is accidentally suffocated by the governess's passionate and strengthful embrace. In *Turning of the Screw of Interpretation*, Shoshana Felman reminds readers to pay attention to the symmetry between the governess's "grasp of Miles"<sup>[25]</sup> when he falls to the ground and her trying to "grasp the act"<sup>[26]</sup> at the beginning of the last chapter. Coincidentally or not, the delicate relationship between these two "grasps" (the physical sense of "clasp or hold" and the abstract sense of "comprehension or understanding") reveals Henry James's refutation of any attempt to possess an absolute truth. As Felman puts it, "the comprehension (grasp, reach his mind) of the meaning, which constitutes the ultimate aim of any act of reading or interpretation, is conceived as a violent gesture of appropriation, a gesture of domination of other possibilities. The act of reading, the attempt to grasp and hold the signified, goes hand in hand with the repression or obliteration of a signifier—a repression the purpose of which is to eliminate meaning's division"<sup>[27]</sup>.

The governess's strong will to fix her understanding and impose her belief on others not only kills the child physically but also strangles the truth itself symbolically. With Miles's death and the disappearance of all possible secrets around him, mystery remains mystery and absolute truth remains unapproachable. The once fixed and stable state of belief collapses, and the pursuit of truth goes back to the start.

## 5. Summary

Henry James has long been considered as a unique and profound writer and thinker in American literary realism. At a time when Howells portrays the smiling aspects of life, Mark Twain satirizes the corruption, degeneration, and falsity of the gilded age and naturalist writers lament people's inescapable destiny in a fatalist mood, Henry James takes a less travelled road and casts his eyes onto a less explored region—the reality of human understanding. Paralleled with his brother William James and C. S. Pierce, Henry James uses his psychologically realist tales to demonstrate his understanding of pragmatic philosophy and pragmatic truth. In *The Turn of the Screw*, the pursuit of the governess's story with a leading narrative chain and accumulated experiences, the fixation of the governess's belief as both a mental and socially acquired habit of mind, and the governess's failure to grasp the final secret at Bly all bear clear imprints of the 19<sup>th</sup>-century pragmatic epistemology. Though the obscure and ambiguous novella confuses its contemporary readers, it does attract more and more modern critics to reevaluate its importance. For them, James's textual open-endedness and philosophical profundity not only foresee the light of literary modernism but also revolutionize the very nature of literary writing and set free the institutionalized literary criticism.

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## Pregnancy and Delivery in *Light in August*

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**Keywords:** Pregnancy; Delivery; Narrative structure; Plot development; Feminine discourse.

**Abstract.** Pregnancy and delivery, as recurring themes, have multiple functions in *Light in August*. Their repetitive occurrence makes the narrative structure a well-organized unity. They also act as the momentum to push the plot forward. And their representation as the feminine discourse forms an inner structure in the novel echoing the outer ones.

Repetition is a technique frequently employed by Faulkner in *Light in August*. There are different forms of repetitions, such as the repetition of words, plots and themes. They all play a certain role in the novel. The repetition of the word “shadow”, for example, appears so many times among the descriptions in several chapters that it aroused the critical attention of Terrell L. Tebbetts to conduct psychoanalysis on it with the theory of Jung<sup>[1]</sup>. What is more conspicuous is the repetition of plots, which are embodied in retelling of the major events mostly by Bunch to Hightower, or Hines to Bunch and Hightower, or townspeople to each other. The mechanism of the spreading of the information became the topic of the paper by Ellen Goellner<sup>[2]</sup>. What I am trying to write about in this paper, however, is the repetition of a certain theme which has been virtually ignored in the critical essays of *Light in August* both at home and abroad. It's the repetition of pregnancy and delivery.

There are altogether four instances of pregnancy and delivery depicted in the novel, i.e., Lena, Milly, Joanna, and a black woman whose baby was delivered by Hightower. Obviously the description of the two processes varies from person to person. For Lena and Milly, we have both pregnancy and delivery. For Joanna, we only have a false pregnancy. For the black woman, we just have the scene of delivery. It's quite interesting to note Faulkner's meticulous arrangement here. Lena safely gave birth to her child. Milly's child, Joe, is safe while she herself died of dystocia. Joanna either had a false pregnancy or was killed with child in her body. The Black woman's falling off bed crashed her child to death without hurting herself. Concerning the safety of both the mother and child, Lena is contrary to Joanna while Milly is contrary to the Black woman. If we consider the race of the four mothers and their babies, such a symmetrical comparison also exists. Lena is white and her child with the white man Lucas Burch is also white. Milly is white but her child is mulatto because of the negro blood of his father. Joanna's baby, if it exists, should be a mulatto too with Joe's blood in it. The baby of the black woman and her black husband is purely black. So we have two mulattos, one white and one black. As for the fathers of the babies, we'll find Lena and the black woman's child have their fathers despite the fact that Burch does not want to assume the responsibility of a father. Milly's husband, Joe's father, a Mexican or a mulatto is mercilessly killed by his maternal grandfather Eupheus Hines. Joanna's imaginary baby's father, Joe is lynched for the guilt of killing its mother.

Such a perfect symmetry may be a coincidence but Faulkner's versatile writing technique alerts us of the pervasive phenomenon of pregnancy which could be more than just meets the eye. Pregnancy as a recurring theme involving the protagonist and so many other relevant figures thus deserves our critical analysis. Now I will try to figure out the function of it in regard to the narrative structure and the social significance of the novel.

## 1. Pregnancy and delivery and the narrative structure

In the paper "The Narrative Structure of *Light in August*", B. R. McElderry, Jr. conducted a structural synopsis of the novel. The whole novel consists of the story of Lena Grove, Joe Christmas, Byron Bunch, Joanna Burden, the Hineses, and Hightower. The author also notes that the chronological order of these stories is varying from present to immediate past and remote past. The connection between Lena's story and Joe's story is a coincidence of time. When Lena arrives in Jefferson, Joe's murder was discovered<sup>[3]</sup>. Undoubtedly this connection of time may serve as a strong evidence to refute the claim of the chaotic state of the structure of the novel, and the pregnancies and deliveries can function as stronger glue to hold the unrelated people and events together. The time when the four pregnancies take place, if is arranged chronologically, should be like this: Lena's pregnancy which is quite near to delivery is at the very present in this year's August; Joanna's false pregnancy at its budding stage was in the immediate past after the Christmas in the past year; the black woman's was in the past four years ago; Milly's was in the remote past in almost thirty eight years ago. This division of time levels by the four pregnancies also corresponds exactly to what Timothy P. Martin has done in his paper, "The Art and Rhetoric of Chronology in Faulkner's *Light in August*"<sup>[4]</sup>. So we will find that Lena's pregnancy begins at a date close to Christmas so that "the real pregnancy of Lena Grove closely coincides with the false pregnancy of Joanna Burden"<sup>[5]</sup>. They are like four points on a line. Each point is included in a separate story, i.e., the story of Lena and Bunch as well as Burch, the story of Joe and Joanna, the story of Hightower, and the story of Joe's mysterious parentage. The occurrence of the four pregnancies in the novel also follows a certain order: Lena's pregnancy occurs in Chapter 1 and her delivery in 17; the black woman's delivery occurs in Chapter 3; Joanna's pregnancy occurs in Chapter 12; Milly's pregnancy and delivery occur in Chapter 16. Though the other three pregnancies or deliveries only temporarily appear in the novel, Lena's pregnancy and delivery constitutes the beginning and the end of the novel and thus makes it consistent. The duration of Lena's pregnancy from the start to the end gives us an illusion that the whole story takes place in a single month of August. The four pregnancies seem separated yet in fact are interrelated. Lena and the black woman's baby are both delivered by Hightower. Lena's baby is mistakenly called by Mrs. Hines as Joe, the father of Joanna's baby. Milly's baby becomes Joanna's baby's father. In this way, these separated stories are connected by the interaction of the major characters brought forth by the pregnancy and delivery and the present, the immediate past and the remote past are also linked to form the diachronic axis of the novel. The whole book comprised of so many "worlds of time" is thus "worked into a symphonic whole"<sup>[6]</sup>.

Besides the coincidence of time and wrong calling of the name of the baby by Mrs. Hines, Hightower, as the delivery man, presents the contrast of Joanna with Lena when he is on his way to see Lena and her baby in the cabin pitying in his mind that the former has not actually been pregnant. The cabin where he delivers Lena's child used to be Joe's residence. In his imagination, he seems to see "the big house again, noisy, loud with the treble shouts of the generations"<sup>[7]</sup>. The "big house" in this negro section, the Freedman Town, could be no other than Joanna's house which has been burned down by Joe Christmas several days ago. The memory of the happy life enjoyed by the "generations", Joanna and her family, is aroused by his meditations on birth and life after the delivery for Lena: "More of them, many more. That will be her life, her destiny. The good stock peopling in tranquil obedience to it the good earth; from these hearty loins without hurry or haste descending mother and daughter"<sup>[7]</sup>. It's in his mind that he wishes for Joanna, the barren woman, the same life force and fecundity as Lena. This is really a "spiritual journeying between the 'dark house' of guilty solitude

and the prospect of a transcending 'light'" [8]. Although the paralleling of Lena and Joanna in Hightower's thinking makes the linkage between them appear spiritual and intangible, it does contribute to recalling the reader of the story between Joe and Joanna and the story between Lena and Bunch with pregnancy as a crucial episode in both. The recalling and comparing strengthens our impression of the unity of the two ostensibly irrelevant stories.

What Hightower envisions for this "good earth", i.e., "descending" offspring, is echoed and fortified by the recurring theme of pregnancy and delivery. If death is the one dominant theme of *Light in August*, as exemplified by Joe and Joanna, then pregnancy and birth should be another, with Lena as the best case in point. Joe's death and the birth of Lena's baby happen on the same day. The baby, conceived around Christmas, regarded as Joe by Mrs. Hines, was delivered in Joe's cabin. All these evidences, instead of a single one, i.e., the coincidence of time as observed by most critics, not only point to the indisputable connection between Joe and Lena but also give us an impression that Lena's baby is Joe Christmas reborn. If Joe has an afterlife, then the new life experience of Lena's baby is it. Death and birth, this is a cycle of life.

This cycle of life is also echoed by the implication of the title of the novel. There are generally two versions of explanation of it. The earlier one is that light, as a slang word, means the body of the pregnant cow becomes lighter after the delivery. This claim was denied, however, by Faulkner's own interpretation. In his speech in the University of Virginia, he said that the "light" in August actually refers to the real rays of light in the middle of August in the state of Mississippi. In his description, the light seems to come from the remote past of ancient Greece and Mount Olympia [9]. If the word "light" does have such an ambiguity of meaning, then pregnancy and Faulkner's mysterious and sanctified light will be associated. Such association is most typically found in Lena, who is always interpreted as the embodiment of Virgin Mary, emanating light and warmth wherever she stays. The light has influenced and even transformed Bunch and Hightower. At an earlier date, the same light in Jefferson will fall on the pregnant Joanna, the black woman and Milly as well. Thus the association of pregnancy with the natural daylight in Faulkner's eyes clearly demonstrates the meaning of the title "Light in August" as a pervasive theme in the novel. The appearance and reappearance of the "Light in August" each year, according to Faulkner's description, also forms a cycle as an objective correlative to the cycle of pregnancy and life.

While Lena's true pregnancy is in sharp contrast with Joanna's false one, so does the descriptions of the images related to them. The scenery of Lena's sitting on the coach in broad daylight under the sun is the major characteristic of the description of hers. On the other hand, Joanna has always been living in the shadow of her secluded house. The image of shadow most frequently occurs in the last rendezvous of Joanna and Joe:

*Then he saw her arms unfold and her right hand come forth from beneath the shawl. It held an old style, single action, cap-and-ball revolver almost as long and heavier than a small rifle. But the shadow of it and of her arm and hand on the wall did not waver at all, the shadow of both monstrous, the cocked hammer monstrous, backhooked and viciously poised like the arched head of a snake...He was watching the shadowed pistol on the wall; he was watching when the cocked shadow of the hammer flicked away. [7]*

In this breathtaking atmosphere with a strong tint of death and annihilation, the word "shadow" appeared four times. It's the shadow of the gun in Joanna's hand, the herald of Death. This shadowy image is in accordance with the sterility represented by the failed pregnancy of Joanna, just like light is in harmony with the fecundity represented by the real pregnancy of Lena.

## **2. Pregnancy and delivery and the plot development**

Each case of the occurrence of pregnancy and delivery in the cycle plays a role in the unfolding of the plot of the whole story. Milly's pregnancy and delivery marks the beginning of the tragic fate of Joe

Christmas. It constitutes the root of the Joe's endless search for his racial identity in his lifetime. Its occurrence at the end of the novel instead of at the start makes itself an unsettled mystery like that of Oedipus waiting to be revealed. This arrangement of Milly's pregnancy and delivery which has a determining effect on the protagonist's life experience remains the most important variation in the structure of the novel and makes it all the more appealing. The black woman's scene of delivery may strike us as trivial and unimportant but it serves as the evidence of Hightower's qualified delivery skill which is essential for the childbirth of Lena. His life, in return, is changed by the latter. If Hightower is not able to deliver the baby for Lena because he lacks the skill for it, he will not be influenced by Lena and his story would remain incomplete.

The failure of Joanna's pregnancy marks the final disillusionment of the normalization of her relationship with Joe. Judith Halden's epigrammatic remark "When a species cannot create or reproduce, when it is sexless, it bounds to die"<sup>[10]</sup> may indicate the logic of this causation between the failed attempt of getting pregnant and death but the specificity of the relationship between Joe and Joanna calls for detailed analysis. Her remark, "maybe it would be better if we both were dead"<sup>[7]</sup> is turned into the plan of suicide for Joe and herself as a result of the disappointing false pregnancy. This plan, unfulfilled, becomes the most immediate motivation of Joe's murder of her. The scene of her struggle with Joe, gun in her hand, though not directly depicted by Faulkner as a hidden plot in the novel, can be logically inferred from the fact that Joe still carries the gun in his hand after the murder of Joanna. If Joanna does not despair so much by the failed pregnancy as to propose to commit suicide for Joe and her with the most powerful exhibit of Joe's murder, the gun, the outcome of the confrontation of the two persons cannot be predicted. Joe's scheme of murdering Joanna may be regarded as premeditated and prepared but the catalytic effect of the suicide proposal cannot be ignored. For her, pregnancy and childbirth, together with her plan of sending Joe to a negro school and to study law from a negro Lawyer, is the last rope of redemption for the sin of promiscuity committed by Joe and herself. Because in her mind, pregnancy will be followed by marriage, which is also speculated by Joe, "thinking She wants to be married. That's it. She wants a child no more than I do"<sup>[7]</sup>. It's not the child that Joanna expects at this stage but instead the increased chance of getting married with Joe thanks to the pregnancy. Marriage will in a certain degree eliminate the sin of promiscuity which weighs heavily in the heart of Joanna with her profound religious background. Joanna's pregnancy may be for real, as Faulkner deliberately wrote to create confusion in the following part:

*That was in September. Just after Christmas she told him that she was pregnant. Almost before she ceased to speak, he believed that she was lying. He discovered now that he had been expecting her to tell him that for three months. But when he looked at her face, he knew that she was not. He believed that she also knew that she was not. He thought. "Here it comes. She will say it now: marry. But I can at least get out the house first."*<sup>[7]</sup>

We can see that Joanna's strong belief of her pregnancy, which is proved as false though several months later, makes Joe vacillate about its veracity and change his attitude at this point in time. If the pregnancy is true, he expects Joanna's marriage proposal and he chooses to escape before this happens just like Brown escapes from Lena instead of killing her. On Joanna's side, she will not propose suicide if she is really pregnant. But the fact is otherwise, so we have the outcome which is quite different from this one in the novel. Therefore, we can see the significance of the false pregnancy in the narration of the novel as it acts as the key factor that transforms Joe's motivation of committing the crime into determination of it from a criminological perspective. Motivation of crime refers to the internal forces that propel the individual to commit the crime. It will transform under a certain circumstance under the influence of internal or external forces. The benign transformation will cause the individual to abandon the motivation of committing the crime while malignant transformation will cause the individual choose to conduct criminal act in more serious form<sup>[11]</sup>. In this sense, the false pregnancy as a determining external force that causes Joe's motivation of crime to

transform malignantly plays a crucial role in his murder of Joanna and thus becomes a dynamic force of the development of the narration of the story between Joanna and Joe. Therefore, Joe Christmas is not just “a Lustmorder (sexual murderer) who misdirects his impotent rage at his emasculated self and ambiguous identity into misogynistic violence”, “a southern version of Expressionism’s ‘New Man’”<sup>[12]</sup>, but also a criminal motivated by the immediate cause of refusing to be burdened with family responsibility that comes subsequent to the pregnancy and delivery.

### 3. Pregnancy and delivery and the feminine discourse

In the essay “Gender, Race and Language in *Light in August*”, Debrah Clarke finds a kind of tongue in Lena unknown to Byron Bunch, when he finds her seem “to be speaking clearly to something in a tongue which he knew was not his tongue nor that of any man”<sup>[7]</sup>. She holds that this language unique to the mother poses a challenge to the father’s power of naming by “complicating and undercutting the language of the father”<sup>[13]</sup>. Similarly, Joanna also speaks strangely “as though she were not listening to her own voice, did not intend for the words to have any actual meaning” when she declares that “A full measure. Even to a bastard negro child. I would like to see father and Calvin’s faces. This will be a good time for you to run. That’s what you want to do”<sup>[7]</sup>. Yet unlike Lena’s language which cannot be understood by Bunch, Joanna does speak understandable language although these words are not supposed to be understood literally and she may imply otherwise. This kind of language may also cause difficulty for Joe, the would-be father, to understand. When Joe proposes to have sex with her afterwards claiming this will facilitate their communication without hurting the child. Joanna responds in an irrelevant and shocking way: “Do you realize that you are wasting your life”? Joe was petrified by this sudden questioning and “it took him some time to comprehend what she meant”<sup>[7]</sup>. Byron’s inability to comprehend Lena’s unknown language and Joe’s difficulty to understand Joanna’s convoluted words symbolize the triumph of maternal power over paternal one by posing challenge with the mother language in the form of unknown or difficult ones to the father language in the form of common words.

Besides such kind of a maternal language, I think pregnancy and delivery itself constitutes a language unknown to man. Luce Irigaray “proposes an alternative feminine discourse modeled on the female genitals in order to rescue women from what she sees as the repressive effects of phallogentrism”<sup>[14]</sup>. Since it’s in pregnancy and delivery that female genital plays an indispensably crucial role, it should be the best embodiment of such a “feminine discourse”. As Avak Hasratian observed that “individuals are defined in opposition to nature and by the individual’s command over his or her ‘own’ body”<sup>[15]</sup>, Lena and Joanna’s use of their own body in pregnancy and delivery constitutes the content of this feminine discourse that is beyond the comprehension by means of language. This “feminine discourse”, incarnated in pregnancy and delivery, is the prediscursive reality that disrupts and deconstructs the discursive reality. Both Byron and Joe fail to comprehend woman in pregnancy. For Byron, “It was like for a week now his eyes had accepted her belly without his mind believing”<sup>[7]</sup>. For Joe, “what he found was a stranger who put aside with the calm firmness of a man his hand when at last and in a kind of baffled desperation he went and touched her”<sup>[7]</sup>. Lena and Joanna’s pregnancies, which is beyond the comprehension of Byron and Joe, deprive their power of language, the symbol of their paternal power. The husband of the black woman and Eupheus Hines are no exception to this deprivation. The hesitation of the black man to call a doctor for aid indicates his lack of understanding of the seriousness of the delayed and uncared-for delivery. Eupheus Hines, blinded by his perverted religious belief, is impossible to understand the meaning of pregnancy and life.

The connection of the two paralleling plots and the network of interpersonal relationship constructed by pregnancy and delivery highlight their function in the integration of the narrative structure of the novel. Moreover, they mark the tension between heterosexual relationship in its most intensified form which leads to the tragic end of the protagonists. In the state of pregnancy and delivery of all the major female characters, “What women represent--silence, gaps, barriers--also



functions as the structural framework of the novel”<sup>[13]</sup>. They form an inner structure in the novel. These characteristics embodied in the enigmatic feminine discourse in the form of pregnancy and delivery betray the impotency of the paternal language power to comprehend it.

Ambiguity and obscurity is Faulkner’s hallmark. This hallmark is best evidenced by the description of the pregnancy and delivery of female characters in *Light in August*. Julia Kristeva has said, ‘In ‘woman’, I see something that cannot be represented, something that is not said, something above and beyond nomenclatures and ideologies. There are certain ‘men’ who are familiar with this phenomenon; it is what modern texts never stop signifying: testing the limits of language and sociality”<sup>[16]</sup>. If pregnancy and delivery is that “something”, Faulkner must be the man “testing the limits of language”.

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# Emerson's Thoughts and Its' Influence upon Hemingway's Writing

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**Keywords:** Emerson's thoughts; Influence; Hemingway.

**Abstract.** Although not very systematic and philosophical, Ralph Waldo Emerson's thoughts exert significant influence upon his contemporaries and the later thinkers, especially men of letters. His redefinition of both individualism and Nature to some extent declares American intellectual independence and establishes its' theory of aesthetics. Hemingway, a world-known writer, characterizes so many highly individualistic code heroes and writes so much about Nature in his works. The individualistic value of these code heroes is corresponding to the revised individualism of Emerson. His view about Nature is, also quite much the same as Emerson, the aesthetic theory of his writing. Individualism is the core of code hero, and Nature is the source of inspiration and poetic language. Hemingway is under Emerson's influence convincing.

## 1. Emerson's thoughts and its significance

Ralph Waldo Emerson is a great human thinker. His thoughts is reflected in his lectures and works. Emerson's thoughts covers a wide range of fields, and is quite complicated. Strictly speaking, Emerson's thoughts, although influential, is not very systematic and logical in general. Therefore, Emerson's thoughts is not a kind of philosophy and he himself never claimed to be a philosopher. However, his redefinition of both individualism and Nature to some extent declares American intellectual independence and establishes its' theory of aesthetics and is seen as a turning-point in American intellectual history.

It is said that there are two declarations in America: one is politically, the declaration of independence; another is intellectually, the American Scholar, written by Emerson, viewed as the declaration of American intellectual independence. Just as Joel Porte & Sandra Morris put, "It was Emerson who, in literary terms at least, really put America on the map; who created for himself the practically nonexistent role of man of letters, and for about a half century--from the golden age of Jackson to the gilded age of Grant--criticized, cajoled, sometimes confused, but mainly inspired audiences in America and abroad." (Joel Porte & Sandra Morris, 2004: 1) When Emerson died in 1882, Joel Porte & Sandra Morris continued, "he was indisputable a figure--for some a figure of fun, but for most one to be spoken of with reverence approaching awe." (Joel Porte & Sandra Morris, 2004: 1) What Joel Porte & Sandra Morris said is of no exaggeration. The contribution Emerson made to American culture is so great that most probably there is no other one who can compare with him in America history. Emerson's advocacy of self-reliance and non-conformity inspired American writers of his own time--notably Thoreau, Dickson and Whitman, and the later. He was significant as well for English and European intellectuals and philosophers, including George Eliot, and Friedrich Nietzsche. Correspondingly, he was spoken highly by his contemporary and later remarkable figures. William James, a well-known philosopher, once made comment on Emerson in 1903, "I let R. W. E. speak for himself, and I find now, hearing so much from others of him, that there are only a few things that can be said of him; he was so squarely and simply himself as to impress every one in the same manner. Reading the whole of him over again continuously has made

me feel his greatness as I never did before. He is really a critter to be thankful for.”(ibid, 12)

## **2. Emerson’s influence on Hemingway’s writing**

### **2.1 Individualism: the core of Tough Guy, or Code Hero**

Individualism is one of the core values of the westerners. In order to call on intellectual independence, Emerson held a very serious attitude toward individualism and dealt with it in depth in his thought. Christopher Newfield (1996:53) in his book presented a revisionist account of Emerson’s influential thought on individualism, in particular his political psychology. In his book, Newfield analyzed the interplay of liberal and authoritarian impulses in Emerson’s work in various domains: domestic life, the changing New England economy, theories of poetic language, homoerotic friendship, and racial hierarchy. Focusing on neglected later writings, Newfield showed how Emerson explored the tensions between autonomy and community-and consistently resolved these tensions by “abandoning crucial elements of both” and redefining autonomy as a kind of liberating subjection. He argued that in Emersonian individualism, self-determination is accompanied by submission to authority, and examines the influence of this submissive individualism on the history of American liberalism. By tracing the development of individualism, he illuminated some contradictions in Emerson’s political outlook, and the conjunctions of liberal and authoritarian ideology they produced. From what Newfield analyzed we know that it was Emerson who revised this important concept in western countries and broadened its scope in some sense. Therefore, to some extent Emerson was the right person who put the idea of individualism on the fore of America culture. Meanwhile, he encourages readers and audiences to feel the exaltation of their highest potential to trust instinct and intuition and to perceive nature as a rich realm of truths more profound than any human social orders made available. In a word, “believe yourself” is the core of Emerson’s individualism.

Hemingway is a world-known writer famous for his creation of Tough Guys, or Code Heroes. Code Heroes, can be defined as, a typical kind of individualistic and free-willed hero who was wounded bodily or mentally, or in adversary environment, but still fighting hopefully and bravely against the harder and stronger counter-partner than him with great courage, honor and dignity, and usually suffering failure at last but showing the extreme degree of potential and sublime hiding in their inner heart, or rather, grace under pressure. In Hemingway’s works, he created a recognizable group of people with distinct characteristics, which combines the strong spirit in Hemingway himself with the characters of tough guys. Generally speaking, they all share the similar living environment, personality, life experience and the great potential and courage hiding in their inner heart. No matter soldiers, bullfighters, hunters or fishermen, apart from loneliness, they all have to combat with adversity, violence, failure and death. Their potential both physical and spiritual is provoked in the most dangerous confrontation, which endows them great power. And in turn this power will be destroyed by the much stronger social and natural forces. The value of these tough guys lies in their unyieldingness even when they have been destroyed. “A man can be destroyed but never defeated.” This is what Hemingway called “grace under pressure”: to show one’s dignity, courage, persistence and endurance under pressure.

The most typical characteristic of Hemingway’s Code Hero is individualism. They fight helplessly against difficulties in an adversary environment with their singular effort. They maintain free-will and individualism, never weakly allowing commitment to a single woman or social convention to prevent adventure, travel, and acts of bravery. And they never show their emotions. Protagonists as Jake Barnes in *The Sun Also Rises*, Frederic Henry in *A Farewell to Arms*, Robert Jordan in *For Whom the Bell Tolls* and Santiago in *The Old Man and the Sea*, and even Nike in Nike series are very typical Code Heroes of individualism. On the one hand, they are more or less bodily or mentally wounded, on the other hand, they are individualistic and have strong willpower with which they are able to endure physical and emotional pain in silence, showing grace when defeated and face death with dignity. In short, the image of the code hero is fully expressed in

Hemingway's characters. Among them, the character Santiago in *The Old Man and the Sea* achieved the summit of individualism. Santiago is not only a typical code hero, but also is highly individualistic. To believe himself is his core value.

Among these code heroes, self-reliance is of great importance because most of the time they are alone, they have to make choice according to their own intuition and own judgment, and when in trouble, they have to overcome or stand it by their own effort, as the examples of Henry at the end of *A Farewell to Arms* and Santiago in *The Old Man and the Sea* fishing the big marlin and fighting against the sharks. All of these are individualistic heroic actions, and typical examples of Emerson's self-reliance.

## 2.2 Nature: the source of inspiration and poetic language

Generally, nature is the environment in which our human beings live and interact with. However, Emerson's attitudes towards nature are more or less different from these opinions. His basic teaching is that the fundamental context of our lives is nature.

Emerson's definition of nature is a broad one. "Nature is the way things are. Philosophically, he says, the universe is made of nature and the soul, or nature and consciousness. Everything that is not me is nature; nature thus includes nature (in the common sense of the green world), art, all other persons and my own body." (Joel Porte & Sandra Morris, 2004: 97) Nature is the fundamental work of transcendental thought and therefore regarded as the bible of Transcendentalism. In this small book of 8 chapters, Emerson deliberately discussed the main benefits we derive from nature, how nature provides the raw material and the energy for everything we need, and the aesthetic theory from nature, and so on and so forth.

What is worthy of special mention is Emerson's aesthetic theory, which influences many men of letters at his time or that after him, including Hemingway. In the chapter *Beauty*, Emerson outlined a theory of aesthetics grounded in nature. "Nature is a sea of forms," he says, and "the standard of beauty is the entire circuit of natural forms." (Joel Porte & Sandra Morris, 2004: 100) Obviously, nature in Emerson's opinion is an ultimate end of everything, providing us with first and most reliable standards of beauty. Therefore, human being's language, as a part of nature, is provided by nature. For Emerson, nature is language, and words are signs of natural facts.

He further points out that everything is symbolic, "it is not words only that are emblematic, it is things which are emblematic." (Joel Porte & Sandra Morris, 2004: 100) Emerson then gives an example of watching river to illustrate this point and comes to a conclusion that what writers understand is this immediate dependence of language upon nature, and what writers do is the conversion of an outward phenomenon onto a type of somewhat in human life. According to this river phenomenon, the essence of language then is highly imagery. This essence not only shows that language is a vast river of images, but also that nature itself is the inexhaustible upstream reservoir and source of all the rivers of language. Emerson says that parts of speech are metaphors, because the whole of nature is the metaphor of the human mind. Every mind can claim all of nature for its' material. Emerson's idea about language and its relationship with nature is quite new. It is quite obvious that nature, for Emerson, is a theory of the nature of things-how things are, a guide to life, and a foundation for philosophy, art, language, education, and everyday living. "Nature is what you may do", to say in Emerson's words.

Obviously, Nature is the aesthetic standard for Emerson. It is so perfect that it is the source of love, happiness, inspiration and the like. "The essence of language is imagery," just as Porte & Morris put, "the reason we love imagery and respond to it is not just that language is a vast river of images, but also that nature itself is the inexhaustible upstream reservoir and source of all the rivers of language." Art, according to Emerson, is the result or expression of nature, in miniature. It is merely the abstraction and miniature of nature, and the ultimate end of natural beauty. What "Beauty is truth, truth is beauty" said by John Keats is "Nature is beauty, beauty is nature" in Emerson's opinion. For Emerson, nature is a universal symbol. Therefore, the chapter *Beauty* is the central part of *Nature* and of course very crucial for writers. Emerson's theory of aesthetics

grounded in nature is not only new but also very influential. Facts in Hemingway's work can be found and proved that he is more or less under Emerson's influence.

Hemingway, like Emerson, is keen interested in nature. When he was a boy, he often went with his father for travelling, fishing, or hunting. He was attracted deeply by the beauty of nature and often pondered its myth. When he grew up and became a writer, he wrote much about nature. Nature was not only written in his books, but also the sources of titles of his books, for example, the *Indian Camp*, *The Snows of Kilimanjaro*, *Cat in the Rain*, *Big Two-Hearted River*, *Hills Like White Elephants*, *Up in Michigan*, *Cross-country Snow*, *The Sun Also Rises*, *The Green Hills of Africa* and *The Old Man and the Sea* and the like.

In *A Farewell to Arms*, Hemingway gave us so much wonderful depictions of nature. For example, the very famous beginning of the novel: "In the late summer of that year we lived in a house in a village that looked across the river and the plain to the mountains. In the bed of the river there were pebbles and boulders, dry and white in the sun, and the water was clear and swiftly moving and blue in the channels. Troops went by the house and down the road and the dust they raised powdered the leaves of the trees. The trunks of the trees too were dusty and the leaves fell early that year and we saw the troops marching along the road and the dust rising and leaves, stirred by the breeze, falling and the soldiers marching and afterward the road bare and white except for the leaves(Ernest Hemingway, 2006:1)."

In this paragraph, Hemingway first of all located the place of the observer. Then the observer seems as if is looking from a window that everything is within his eye-sight: the river, the plain and the mountains. The river is firstly mentioned therefore the more detailed depiction of it is offered after that immediately. Then the observer's attention shifts to troops, of course they are marching on the plain. What the aftermath of the troops went by is the raising of dust, which makes the trunks of the trees too dusty. And the leaves, stirred by the breeze, fell early that year. Here, only the mountains were not further mentioned. Evidently, everything in this paragraph is about natural things, and according to Emerson, "it is not words only that are emblematic, it is things which are emblematic." Therefore there are meanings beyond there natural things: the river emblems clear-mindedness and freedom; the plain means disaster or misfortune; dust symbolizes the destructive force of war; the early fallen leaves emblems the early death of somebody and the mountains are safe places or homes. This depiction is quite much like Emerson's example of watching river. Hemingway's experience in war-field made him understand this immediate dependence of language upon nature. What he did is the conversion of an outward phenomenon (war-field) onto a type of somewhat in human life (language).

The same detailed description can be found in chapter two: "...I was out where the oak forest had been I saw a cloud coming over the mountain. It came very fast and the sun went a dull yellow and then everything was gray and the sky was covered and the cloud came on down the mountain and suddenly we were in it and it was snow. The snow slanted across the wind, the bare ground was covered, the stumps of trees projected, there was snow on the guns and there were paths in the snow going back to the latrines behind trenches (Ernest Hemingway, 2006:1)"

This is a more detailed description of nature, showing Hemingway himself took delight in nature and kept close conversation of it. Nature is so beautiful and he observes it very carefully: a cloud was coming over the mountain very fast, the sun went a dull yellow, everything was gray, the sky was covered and snow slanted across the wind, and the like. Before snowing and in the process of snowing, every thing relates to snow is mentioned: cloud, sun, sky, wind and the bare ground. According to Emerson, all of these natural scenes are "out there," and "what writers do is the conversion of an outward phenomenon onto a type of somewhat in human life." Obviously, the natural scenes before snowing and in the process of snowing inspire Hemingway and he has to use beautiful language to express it out in turn. Thus, nature is the source of his inspiration and poetic language. This process is exactly what Emerson said that the writer firstly understands nature and then does a conversion of an outward phenomenon onto a type of somewhat in human life. Namely, outward phenomenon is expressed by our language, the inner cognitive mechanic of human beings.

In *The Old Man and the Sea*, although words and sentences are quite concise and short in general, there are also some beautiful depictions about nature: "...As he watched the bird dipped again slanting his wings for the dive and then swinging them wildly and ineffectually as he followed the flying fish...The strange light the sun made in the water, now that the sun was higher, meant good weather and so did the shape of the clouds over the land(Ernest Hemingway, 27-28)."

Of course, all of these are not merely natural descriptions. Just as Emerson put, "The world is emblematic," and "parts of speech are metaphors, because the whole of nature is the metaphor of the human mind," these beautiful expressions of course carries lots of meanings. For example, different colors in *A Farewell to Arms* have different implications, and natural phenomenon such as rain and snow foretell something would happen. In *The Old Man and the Sea*, the paragraph "He saw the phosphorescence of the Gulf weed in the water as ..." (ibid, 21) indicates that Santiago is a very knowledgeable fishman and the writer who depicts this fishman should also be good at fishing. In the paragraph "...As he watched the bird dipped again slanting his wings...", the relationship between the bird and the flying fish of course is the symbol of the old man and the fish he is trying to fish. In the paragraph "...The clouds over the land now rose like mountains..." the beautiful scenes show that something good will happen to Santiago and he is an experienced fishman.

In the mean time, the language in these depictions is very poetic and metaphorical. Hemingway was awarded Nobel Prize for literature in 1954 for his "mastery of the art of modern narration, especially in the *Old Man and the Sea*." Since then, "Mastery of the art of modern narration" is the official and highest remark of Hemingway's poetic language and lots of modern writers follow suit.

As to Hemingway's poetic language, most probably is also affected by Emerson. As a public lecturer, Emerson, unlike other orators, makes his language difficult to understand for being poetic purpose. He once said, "the best writing is that which does not quite satisfy the reader," "the merit of not explaining", "a little guessing does him [reader]no harm, so I would assist him[reader] with no connections." (Packer. B. L. 1982: 1) This shows that Emerson expects readers to fill in the blanks he left purposely and construct meanings by themselves. For Emerson, the reader picks up a book to try the author's merits, but the reader is also being tested. But how can the reader be tested? "Deep calls unto deep," Emerson notes, "& shallow to shallow." (Packer. B. L. 1982: 6) Put it simply, the reader is being tested by deep text. According to B. L. Packer, a deep text is one that challenges the reader to intellectual activity. He further pointed out that Emerson's best critics have always pointed out how well his own works live up to his demand that a text must involve the reader actively. Packer used W.C. Brownell and James Russell Lowell's writings to illustrate how Emerson tried to make everything means something additional by means of ambiguities, lacunae or discontinuity, paradoxes and understatement to encourage readers to construct meaning actively. Hemingway, in his process of writing, also did so. He once makes such a famous comment on omission: "If a writer of prose knows enough about what he is writing about, he may omit things that he knows and the reader, if the writer is writing truly enough, will have a feeling of those things as strongly as though the writer had stated them. The dignity of movement of an iceberg is due to only one-eighth of it being above water. A write who omits things because he does not know them only makes hollow places in his writing ( Larry W. Phillips, 1999: 77)."

From the aforementioned, we can see that Hemingway, as Emerson, has high expectation of reader's participation in meaning construction in the course of reading. Therefore he omits things that he knows on purpose, and readers have to figure out the omitted parts by those truly writings. Holding this standpoint, Hemingway, like Emerson, did everything he could to makes the reader's task difficult. "He deliberately rejected the carefully sloped introductions, the graceful transitions, the carefully modulated crescendos and de crescendos of the popular essayistic style. Emerson's beginnings are abrupt; his transitions, equally so." (Packer. B. L. 1982: 6-7) Hemingway also did so. He often complains that readers can not understand well what he said in his books. The main reason is that he omits those parts which should not be omitted. Therefore, we can draw a conclusion from this analysis that Hemingway's poetic language most probably is influenced by Emerson as well. As Wang Yi pointed out, Emerson's aesthetics caused a revolution in American literature. Generations

of poets, writers as well as dramatists appeared in the revolution and they used unique ways to express America and therefore true American literature came into being.

### 3. Conclusion

It is no exaggeration to say that Emerson and his thought is the turning-point in American intellectual and cultural history. Since his call for an intellectual independence in a series of works, more and more American writers began to write native customary and cultural topics. They observed the beautiful nature carefully which they did not care about too much before and drew inspiration from it. This effort quickly led to the localization of American culture and literature, which can be called Cultural Nationalism to some extent. According to Emerson, in order to be intellectual independent, Americans should be self-reliant and individualistic; thus, individualism is of vital importance in Emerson's thought. Emerson also thought that the problems of source of writing material or inspiration and the aesthetic standard should be timely solved corresponding to intellectual independence. Then, he took smartly nature as a solution. Therefore, the thought of individualism and nature, is highly interrelated. Based on Emerson's thought of individualism and nature, code heroes and natural elements in Hemingway's works are deliberately discussed in this paper. What found from the discussion is that the code heroes and natural elements in Hemingway's works are closely related to Emerson's thought. Given Emerson's influence, Hemingway, as a writer, is most probably influenced by this preeminent human thinker.

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## Logic Reasoning Is So Important in Reading

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**Keywords:** Logic reasoning; *A Unicorn in the Garden*; *Hills like White Elephant*.

**Abstract.** The importance of Logic reasoning in reading is obvious. In this paper, I am going to take two short stories, *A Unicorn in the Garden* and *Hills like White Elephant* as examples to show how the logic reasoning helps readers to have a deeper understanding and better appreciation of the story.

### 1. Introduction

What is logic? Logic is the science of reasoning, which is the particular method of system of reasoning. Reason means the power of the mind to think, to understand and to form opinions, etc. So the logic reasoning in reading requires readers to collect the information writers have given, the clues in the story, then to think it over, to form opinions finally. Only in this way can we have a deeper understanding and better appreciation of the story.

### 2. The analysis of two short stories, *A Unicorn in the Garden* and *Hills like White Elephant* by using logic reasoning in reading

#### 2.1 How logic reasoning matters in the reading of *A Unicorn in the Garden*

Logic reasoning plays an important role in the reading of *A Unicorn in the Garden*. Only if we read the story with logic reasoning through the employment of dramatic structure can we understand it in the right way. The key to understand the story lies on the analysis of character's personality through their action. The various actions reveal the different personality. The expected action discloses the natural and habitual traits of the protagonist; the unexpected action discloses the emotional traits and results in the inciting action and the other side reacting to the inciting action also belongs to the unexpected action; inciting action marks the beginning of the conflict. The character further takes the deliberative action, which caused the complication of the conflict, even reaches the crisis.

In the short story *A Unicorn in the Garden*, the first aspect is the expected action. "Once upon a sunny morning, a man who sat in a breakfast nook looked up from his scrambled eggs to see a white unicorn with a gold horn quietly cropping the roses in the garden." People have never seen a unicorn before so it is easy to regard the unicorn as an unexpected action. However, the hero accepts the fact without any surprise. Therefore, we can get a conclusion that he is used to this. And we know the unexpected action should not appear at the beginning of the story. Generally speaking, the expected action shows up at first, which gives the introduction of the character's personality and habits, and then comes the unexpected action. So we think it as the expected action for the hero to see a unicorn. The usual and daily action in the most case reveals one's personality and habits. Then, we may ask ourselves several questions. Who often has the unusual experiences? Who always get the bizarre ideas? We've got the answer that the imaginative and illusion-loving people often do those things. Someone may doubt there is not a unicorn at all and think it's just a coincidence. We can see that the man is having his scrambled eggs that have the white color of the



albumen and the yellow color of yolk which coincide with the color of the unicorn – a white unicorn with a gold horn. No matter it is true or not, we'd better accept it and believe it has really happened, like the story of the fox wanting to eat grapes in *Aesop's Tales* in spite of the common sense that the fox is a carnivore. Another case is in *the Dream of Red Mansion*. It is well known that Jia Baoyu has a big and glittering jade and stone in his mouth when he was born. We have to think it is true so that we can have the following attractive plots. S. M. Coleridge calls this "the willing suspension of disbelief". We are willing to accept the fact that he has seen the unicorn.

*The man went up to the bedroom where his wife was still asleep and woke her. "There is a unicorn in the garden," he said. "Eating roses." She opened one unfriendly eye and looked at him. "The unicorn is a mythical beast," she said, and turned her back on him.*

When one finds a unicorn in the garden, it is natural for him to find someone to share the unusual thing. Obviously, it is natural to see a unicorn and to share the unicorn in the daily life. Naturally, we may consider whether the unicorn refers to something else and whether it is a symbol or not. A symbol is free of interpretation among all kinds of rhetoric devices. The unicorn can be interpreted as some unusual experience or a bizarre idea. When someone encounters it, he will find others to share the unicorn. That is what the man does, but he meets with his wife's rebuff. She opens one unfriendly eye, looks at him and says to him, "the unicorn is a mythical beast." She is right that the unicorn does not exist at all. What's important is her attitude towards the unicorn, exposing her personality, that is, she is lacking in imagination and gets any conclusion from the facts. She is totally different from her husband in personality. Meanwhile this shows there is no common language between the man and his wife and they cannot interchange their feelings. Moreover, there must have been a few times of such kind of communication before. The wife cannot appreciate her husband all along. In addition, the two sides are not satisfied with each other for a long time. So her answer is the expected action. It is taken for granted that the male takes the active action to improve the relation while the female often gives no response.

*The man walked slowly down stairs and out into the garden. The unicorn was still there; he was now browsing among the tulips. "Here, unicorn," said the man, and he pulled up a lily and gave it to him. The unicorn ate it gravely. With a high heart, because there was a unicorn in his garden, the man went upstairs and roused his wife again.*

Obviously the man has a cheerful personality. When he came back to the garden, he found the unicorn was still there, feeding it and getting more cheerful. He came into the house again and wanted to tell his wife his new discovery.

The second aspect is the unexpected action, also called the inciting action.

*"The unicorn," he said, "ate a lily." His wife sat up in bed and looked at him, coldly. "You are a booby," she said, "and I am going to have you put in the booby-hatch." The man, who had never liked the words "booby" and "booby-hatch," and who liked them even less on a shining morning when there was a unicorn in the garden, thought for a moment. "We'll see about that," he said. He walked over to the door. "He has a golden horn in the middle of his forehead," he told her. Then he went back to the garden to watch the unicorn; but the unicorn had gone away. The man sat down among the roses and went to sleep.*

His wife is not only unwilling to communicate with him, but scolds him and threatens him to put him into the lunatic asylum. It's clearly beyond the common action. It's not an expected action, but the unexpected action. At the same time it brings the inciting action which means the beginning of the conflict between the man and his wife. This inciting action shows the wife's emotional traits, her will, her love and hatred. She can stand her husband's behavior no more. She views the illusion-loving man as a booby and hopes to get rid of him. The wife wants to get rid of the man and the man also begins to return her hatred, which is clarified by his reply to her, "'we'll see about that,' he said. He walked over to the door. 'He has a golden horn in the middle of his forehead,' he told her." Actually it is a threat to her that he has the resistant horn, too. The second round between them is unexpected action. Then he went back to the garden to watch the unicorn; but the unicorn had gone away. It maybe shows that he is not in the mood after being cursed so the unicorn

disappears. Nevertheless, it happens on him that he goes asleep under the condition of being threaten, which indicates that he has made a plan to deal with his wife.

The third aspect is the complication of the conflict.

At first, the wife takes the deliberative action.

*As soon as the husband had gone out of the house, the wife got up and dressed as fast as she could. She was very excited and there was a gloat in her eye. She telephoned the police and she telephoned the psychiatrist; she told them to hurry to her house and bring a strait-jacket.*

The action being thought over is called deliberative action. The action reveals her mental traits that she does not take everything into consideration and she is a simple-minded woman.

Secondly, the crisis comes.

*When the police and the psychiatrist arrived they sat down in chairs and looked at her, with great interest. "My husband," she said, "saw a unicorn this morning." The police looked at the psychiatrist and the psychiatrist looked at the police. "He told me it ate a lily," she said. The psychiatrist looked at the police and the police looked at the psychiatrist. "He told me it had a golden horn in the middle of its forehead," she said. At a solemn signal from the psychiatrist, the police leaped from their chairs and seized the wife. They had a hard time subduing her, for she put up a terrific struggle, but they finally subdued her. Just as they got her into the strait-jacket, the husband came back into the house.*

The wife reports to the police as truthfully as the facts, which is in accordance with her factual nature. Yet she is so simple-headed that she does not know why the police and the psychiatrist have eye contact. Finally, she is trapped in her own scheme and she has got the strait-jacket. The wife should have thought the police and the psychiatrist would think she was crazy when she told them to hurry to her house to arrest her husband since the unicorn was a mythical beast; the police and the psychiatrist should have thought what the wife said was just what her husband had told her. The wife was subdued because of her own foolishness and the police and the psychiatrist subdued her because of their own self-willfulness. The right booby hatched in this story is the wife. She was going to have her husband put in the booby-hatch, but the reverse happened and she herself was put there. If the wife had not intended to have her husband put in the booby-hatch, she would not have been shut up in such an institution, just as the proverb goes. "As you make your bed so you must lie on it."

Thirdly, it is the climax of the story followed by the resolution.

*"Did you tell your wife you saw a unicorn?" asked the police. "Of course not," said the husband. "The unicorn is a mythical beast." "That's all I wanted to know," said the psychiatrist. "Take her away. I'm sorry, sir, but your wife is as crazy as a jay bird." So they took her away, cursing and screaming, and shut her up in an institution. The husband lived happily ever after.*

The policeman's question brings the climax of the story because the question is the turning point of the story. Moreover, the resolution made by the hero at the zero time has much to do with the ending, comedy or tragedy. The hero's answer is the response to the climax, which is the resolution. The husband's answer is beyond the wife's expectation. He must have got this answer in his mind as delivered in his talking to her, "he has a golden horn in the middle of the forehead." It is so different of their deliberative traits that the wife is defeated within our expectation.

The last part, also the fourth aspect, is the conclusion. It gives a moral, that is, "don't count your boobies until they are hatched."

When we read with logic reasoning in our mind, we will see through the structure of the story and gradually find out some clues that we can have a deeper understanding and better appreciation of the fable.

## **2.2 The embodiment of the importance of logic reasoning in reading *Hills like White Elephant***

Another example is in Hemingway's short story *Hills like White Elephant*. The story consists mostly of dialogues and much of the conversation seems to be about trivial things, such as ordering drinks, the weather, and so on. Therefore, we feel puzzled by these things when we read it at the

first or second time. It seems that the man and the girl discuss something, but the topic of discussion is never explicitly named. It's certain that we shall have many doubts. What is the "awfully simple operation"? Why isn't it named? What different attitudes are taken towards it by the man and the girl and why there is difference between them? What is it since there must be a theme in the story? When we have these doubts in our mind, we can continue to read carefully, and then we'll find some clues that help us to solve the problems.

At first, we should know something about the writer, Ernest Hemingway. He is the representative of the Lost Generation. He has written many novels, such as *Who the Bell Tolls for*, *The Sun also Rises*, *Farewell to Arms*. Most of them are about the war and people's disappointment for the government, for the society or the disillusion of their dreams. The Hemingway code hero calls for hedonism and they fully enjoy themselves every day. After having some knowledge of the background, in addition to the hints in the short story, we know that the man and the girl talk about abortion. Through a casual conversation, Hemingway illustrates a friction of the relationship that the couple is facing because of the girl's pregnancy. The man tries to look for some excuses to get rid of the unborn child. The girl is anxious about the change of their relationship after getting abortion which, moreover, is against her will. "And if I do it you'll be happy and things will be like they were and you'll love me?" The girl also feels stuck in a relationship in which she is under the man's control and hardly gets what she wants.

Another doubt is why does Hemingway choose *Hills like White Elephant* as the title? We look up the dictionary and find that a white elephant means the possession that is useless and often expensive to maintain. In this short story, it maybe refers to the unborn baby. Everyone knows that to have pregnancy is a hard process. In this sense, the unborn baby is expensive, but he is unlucky and useless to make up for the relationship of the man and the girl. "The death of love" is one of the phrases that illustrate what is going to happen to the couple. "The death of love" means that the relationship will not go any further, but come to an end eventually. Based on these analyses and the interpretation, we may further appreciate the story.

### 3. Conclusion

Thus, we can see from the above that logic reasoning is very important in reading. Without it, we can not understand the deeper meaning of a story. After realizing the importance of the logic reasoning, we can fill our mind with logic reasoning to read between the lines so that we can understand stories thoroughly and appreciate them in a higher level.

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## Is Language Generated Through “Autonomy of Syntax” or “Parallel Architecture”: Analysis of the Two Models of Grammar from Chomsky and Jackendoff

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**Keywords:** Autonomy of syntax; Parallel architecture; The modularity of human cognition; Faculty of language in the narrow sense.

**Abstract.** Both Chomsky and Jackendoff hold the view of mentalism, and propose that language is generative. Chomsky's grammar model of “Autonomy of Syntax” is of maturity, but its simplicity has made it deviate from the direction of semantic interpretation to some extent. Jackendoff's model of “Parallel Architecture” can make up the deficiency of semantic research and reduces the burden of the syntax in grammar, but it increases the complexity of the grammar system on a large scale. Such divergences are caused by the following facts: In recognition of the modularity of human cognition, Chomsky limits his research of human language competence within the domain of Faculty of Language in the Narrow Sense (FLN), dedicating to reveal the unique human language competence-recursion, whereas Jackendoff puts his research of language competence under the general cognitive modules. The explanatory power of the two models still rely on the verification from researches in linguistics and linguistics-related interdisciplines.

### 语言生成是“句法自足”还是“平行架构”？ ——论Chomsky和Jackendoff的两种普遍语法模式

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**关键词:** 句法自足；平行架构；认知模块性；狭义语言官能

**中文摘要.** Chomsky和Jackendoff都坚持心智主义，主张语言的生成性。“句法自足”语法模式理论建设成熟，但其单一性在一定程度上背离了语义解释方向；“平行架构”模式，可以弥补语义研究的不足，减轻句法的负担，但增加了语法系统的复杂性。两种模式差异的根源在于：在承认人类认知模块性的前提下，Chomsky将语言能力研究限定在狭义语言官能（FLN）之内，致力于揭示人类独有的语言递归能力；而Jackendoff则将语言能力置于一般认知模块之下

研究。两者的解释力和科学性仍然有待语言学内部及与语言研究相关的交叉学科的进一步检验。

## 1. 引言

Chomsky引领的主流生成学派认为语言学是认知科学的一部分，语言研究关注的应该是内在化的语言(*Internalized language*)及其生成机制。自1957年《句法结构》(*Syntactic Structures*)出版以来，生成语法理论不断得到修正，其主张一直受到语言学及其他相关领域的广泛争议。在语言学内部，语法模式是表征内在化的语言能力的重要方面，而如何架构普遍语法(*Universal Grammar/UG*)是一个极富争议的问题。20世纪60年代末至70年代，生成语法和生成语义学就围绕深层结构是否决定意义的问题展开了一场“语言学大战”。围绕句法和语义之间的关系问题，生成语法内部逐渐分离出与主流生成语法不同的思想，衍生了一些新的理论框架。Jackendoff提出的概念语义学就产生了较大的影响。概念语义学在主流生成语法的基础上作了重要的理论创新，形成了独树一帜的生成语义学。不过，从研究的基本立场而言，它仍属于生成语言学。Jackendoff在肯定主流生成语法的心智主义(*mentalism*)、UG假说、模块说、先天论和“句法自足”论的同时，创造性地提出了“平行架构”语法模式，为寻找人类语言的本质提供了新的研究模式和宽广的研究视角。

## 2. 作为“心智状态”的语言能力研究

20世纪40、50年代的美国结构主义语言学派致力于寻找语言的“发现程序”，即基于大量的语料，通过切分、归类、替换等程序分析和概括出语法规则。这种研究模式建立在实证主义哲学和行为主义心理学的理论基础上，只注重考察、分析“外在化”语言，不考虑语言的内在心智要素。Chomsky指出，这种做法能集中精力研究公共可观察的语言现象，但对语言现象背后的深层原理缺少探讨，其理论解释力度明显不足<sup>[1]</sup>。另外，Chomsky猛烈抨击了行为主义心理学代表Skinner的“言语行为”理论，并肯定了心智的“实在性”(reality)<sup>[2, 3]</sup>。Skinner通过动物的“刺激—反应”实验，指出人类学习语言的过程如动物学习过程一样，是对外界言语刺激做出反应的强化过程。但语言获得仅靠外界刺激是远远不够的，必须有一个天生的生物体即语言官能(*Faculty of Language/FL*)来处理输入的信息以组织自身的行为。Chomsky一反结构主义和行为主义传统，主张“天赋论”和理性主义，将语言学研究重心转向人类语言能力及其所依托的心智及其表征方式，掀起了一场“Chomsky革命”。

Chomsky区分了语言能力(*competence*)与语言运用(*performance*)<sup>[4]</sup>。前者指说话者的内在语言知识，也即UG，为全人类共有；后者则指具体使用语言的行为。语言能力是语言学研究的重点，应该将语言学视为心理学的一部分；而对语言能力的研究也是当前探究人类“心智”状态的最适合的方式。UG是一套组合性规则或原则，这些原则使人们能够利用有限的词汇生成无限可能的句子，这个原则系统就是“生成语法”。语法由三部分组成，构成“概念上不可缺少的条件”<sup>[5]</sup>：(1) 运算系统(语法)与感知—运动(*Sensory-motor/SM*)系统的接口。(2) 运算系统与概念—意旨(*Conceptual-intentional /CI*)系统的接口。(3) 运算系统与词库的接口。生成语法坚持以句法推导为中心，运算系统的基础生成部门(*component*)是句法部门，而语音和语义部门是“解释性”的。学界有人将这种观点称为“句法自足论”(Autonomy of Syntax)或“句法中心主义”(Syntactocentrism)<sup>[6: 161-162]</sup>。

作为Chomsky的学生和生成语法的早期追随者，Jackendoff认同语言学是心理学一个分支的观点，赞同将语言作为一种心智状态进行研究；也认同语言能力和语言运用的区分<sup>[7, 8]</sup>。但他指出，主流生成语法模式追求语言能力，却忽视语言的运用，已从相对的“软理想化”转向“硬理想化”；只有将语言能力与语言运用统一起来研究才能更好地寻找语言的本质<sup>[8: 33]</sup>。他因此与主流生成语法分道扬镳，提出了概念语义学。概念语义学认为，人类的语言能力需

要从三个方面进行追问<sup>[8, 9, 10]</sup>：一是能力理论，即语言使用过程中功能—心智（f-mind）中存储和组装的“数据结构”的功能特征；二是运用理论，即语言感知和产出过程中“数据结构”运用的功能特征；三是神经具现（Neural Instantiation）理论，即存储和组装大脑中得的数据结构和处理是怎样实现的。Jackendoff并没有抛弃语言能力和语言运用之分，但“只是将此作为一种方法上的区分，而不是作为一种理念形态上的区分”<sup>[10: 28]</sup>。因此，他主张将语言能力置于更为广阔的大脑表征理论背景之下进行考察，并将语言能力与语言表现结合起来，构架了一个语音、句法和语义互相制约的结构体系，将其研究定位在认知神经科学下的心智结构研究之内。他将“心智”称为“功能心智”（f-mind 和f-mental），将“知识”称为“功能知识”（f-knowledge）。他坚持心智主义原则来阐释语言，揭示语言的“心理实在性”。与主流生成语法相同，概念语义学也认为研究语言就要研究和模拟大脑语言的物质基础，旨在解释语言能力是如何体现在大脑之中的，但是两种生成系统的侧重点和研究方法均有差异。

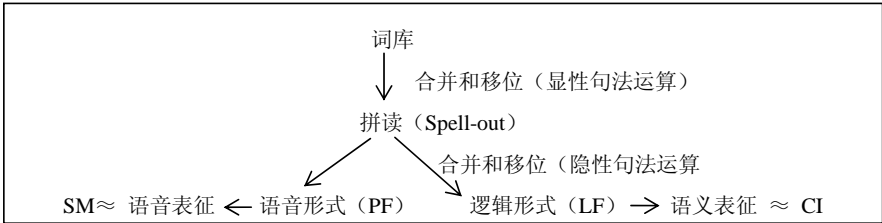
### 3. “句法自足”与“平行构建”语法模式

#### 3.1 Chomsky的“句法自足”模式

Chomsky认为，人类语言能力/语言知识以规则和原则系统的形式表现在固定状态中，语言表达式是语言知识的结构描写，而语言可以被当作是这些表达式结构描写的集合<sup>[11]</sup>。因此，了解一门语言就是掌握心智表征的语法。语言学家的任务就是确立这样一套规则，然后将其形式化，来解释构成我们的全部语言知识的复杂性，而这些规则就是语言知识的概括。主流生成语法在探寻UG规则的路上几经衍变，但是在每个阶段无一不是采用句法分析技术和分析路线，以求揭示语言与心智表征的关系之迷。

20 世纪 90 年代，生成语法从管辖和约束（Government and Binding/GB）理论发展到了最简方案（the Minimalist Program/MP）阶段。MP将“经济原则”（Principles of Economy）确立为语言研究与语言理论建设的奠基石，强调在理论表征与运算推导两方面都力求达到“最简”程度，语言研究方法和语言本身的构成及运算都需要符合“最简”原则。语言是一个优化设计的完美系统，自然语言的语法创造的结构为与心智中的其它部分完美地接口而设计，这个“其它部分”是指言语系统和思维系统<sup>[12]</sup>。

(1)

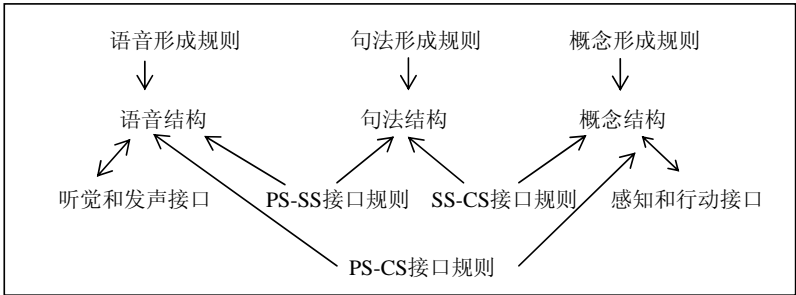


在MP模式中，句法运算过程首先从词库挑选词条，然后按照短语规则通过合并（merge）操作手段生成相应的PF和LF。语法模型只剩下三个循环操作：窄句“合并”操作（包括隐性操作和显性操作/内部合并和外部合并）及两组接口的分别映射。优化运算要求严格的循环操作模式。句法根据内在的词汇限制通过词项组合，即“合并”操作而来。多次合并操作形成语段。每个语段中已构建的句法被“移交”（transfer）操作到两个接口，被移交的部分不能够再进入后面接口的映入，即运算遵循“语段无渗透条件”（the Phase Impenetrability Condition/PIC）。映入到SM接口的过程叫“拼读”。通过拼读生成PF和LF。两个接口所需的条件是检验句法过程是否合法的手段。

### 3.2 Jackendoff的“平行架构”模式

“句法自足”模式中，句法是语言结构上唯一的“生成性”组份。该语法模式实质是一种双解读模式：句法结构在接口处得到解读。其好处在于它基于严格的模块，是一种严格的语法模型。但是，不足的是双解读假设通过内在的理论驱动，而不是通过经验上的考虑——音系与意义的交互作用仅仅通过句法存在经验上的不足。语言具有复杂性，而语言的复杂性绝非全部来自句法，因此，单一的句法模式似乎很难揭示语言的本质。许多人意识到了“句法自足”这一缺陷，转而想方设法以其他方式讨论意义在多大程度上直接体现在句法之中。Jackendoff认为，音系、语义都具有生成性，是语法体系中的基本组份，由此，他提出了“平行架构”理论：语法包括三个并行的“自足”系统：语音、句法和语义/概念系统，并通过词库和制约规则实现两两之间的“接口”联系<sup>[8: 125]</sup>。

(2)



概念语义学认为，不能让句法承载太多的东西，因此要建立“更简句法”(Simpler Syntax)，给句法减轻负担。减负的办法就是让音系、句法和语义作为独立、并列的生成部分，通过接口相互联系。在此模式中，三个“自足”系统都具有生成性。一个合格的句子不仅要满足音系、句法和语义各部分的要求，还要满足音系-句法(PS-SS)、音系-概念/语义(PS-CS)和句法-概念/语义(SS-CS)之间的接口要求。句法的作用在于协调线性音系与语义之间的关联，语义用Jackendoff的概念结构来处理，而概念结构是一种没有线性排列次序的等级结构<sup>[13: D20]</sup>。

“平行架构”模式中仍然有句法，但改变了“句法自足”单一模式，语音、句法和语义三个独立生成系统和各接口部分可根据相互制约的接口规则得到解释。由于语音和语义部门分担了任务，句法自治程度远远不如以前。因此，Jackendoff并不是要抛弃“句法自足”，而是希望通过其理论为主流生成语法辩护，采用了将语法模式扩展到将语言运用结合起来的语义学范围之内，这也是为何其理论仍然可被纳入生成语言学范畴的缘由。而这种语法模式，将语义/概念的研究视为语法研究最为重要的一部分，这有利于弥补语义研究只不足。

### 3.3 两种模式下的语义研究

语言研究中最重要方面就是语义研究。较之于语音和句法，语义往往难以得到实现客观准确的描述。语义反应人类思维过程和客观实际，极具复杂性。如何建立一个科学的语义研究模式一直是令语言学家、哲学家感到棘手的问题。

对于语义，Chomsky认为，“很可能，自然语言只有句法和语用；‘语义’只是在‘研究语言这个工具在言语社区实际上是怎样被运用的，而这个工具的形式结构和表达潜力就是句法研究的主题’这个意义上才有的。”<sup>[14: 26]</sup>因此，他认为根本没有独立的语义，语义应该属于句法的范围之内。为了避免人们误解，他采用“LF”代替“semantics”。这样，语言的意义由两部分组成：一是与句法相关的语义在句法层面得到解读，实现逻辑形式的表征，即语言语义(linguistic semantics)；二是与句法无关的语义通过“语用”接口，被语境化而得到“语境化意义”(contextualized meaning)。形式意义与语境意义是各自分离但又相互联系的两部分。表征语义的LF在CI接口处得到解读。CI系统，也就是宽松意义上的“思维”，是人类大脑表征系统，进行经验解读、反思、推理、计划和想象等大脑活动<sup>[15: 2]</sup>。由于概念系

统极具复杂性，并且它本质上独立于语言能力，且可以通过不同的方式进行表达，因此，只有句法结构与概念一意旨对应规则才是语言能力的一部分，其他与概念一意旨相关的都属于语言表现系统，而这不是主流生成语法关注的重点。

但是，Jackendoff 指出，主流生成语法一方面强烈主张采用内在化的方法研究语义，另一方面却从来没有尝试去建立系统的内在化方法。在接口成分概念下，语义是指一个结构和另一个结构之间的关系，也就是接口成分打算具现什么，但是主流生成语法却不知道心灵中有什么接口。因此，这样一种不严肃对待意义的语言理论是非常不完整的。将“语言语义”和“语境意义”完全分离，先有语义，后有语用，这打断了语言形式与意义之间的接口。将语言意义和语境化意义完全分离，我们就无法彻底区分逻辑意义和非逻辑意义、词典意义和百科意义、由语言实现的意义和与语法无关的意义等<sup>[8: 293]</sup>。人类语言的本质离不开语言能力也离不开语言使用，语义在本质上就是概念化和语言形式之间的接口研究。

大脑中有一个负责组合语用元素和“百科知识”或“世界”知识的概念系统，其组成单位是诸如概念化的物体、事件、性质、时间、数量和意图等之类的概念结构实体，而在形式系统中这些实体是（窄句）句法的层级结构某些方面的镜像，但它们又不同于句法结构<sup>[7:31]</sup>。语义的句法表达和语义两者本质不同，语义解释不可能通过句法逻辑式直接“拼读”。因为生成语法强调的句法结构的无限性，这正好对应于能被句法结构表达的概念的无限性，而这种概念无限性说明需要一种独立的概念语义理论，正如句法结构的无限性可在句法理论中得到解释<sup>[16: 33]</sup>。概念/语义同样具有生成性；概念也是无穷的，无穷的概念由有限的概念元（primitives）按形成规则生成。概念元是天生的、不应再分割的原初概念，而概念结构由概念元按照运算规则生成。“作为抽象系统的语言能力与大脑运用这种能力的方式不可能完全界限分明、一分为二地区别开来。‘思维独立于语言并且能在缺乏语言的情况下产生’的观点有悖于‘思维在语言中产生’这个一般直觉，我的立场是语言形式为思维提供一种方式，可为意识利用。”<sup>[8: 273-274]</sup>从这一点上看，Jackendoff关注的UG/语言能力所在认知范围大于Chomsky所关注的范围。

#### 4. 两种语法模式的本质区别

虽然主流生成语法和概念语言学都将语言能力视为一种“心智状态”，在生物学上是一种“心智器官”（mental organs）；在认知上，是认知模块中的一个子模块，即语言模块。但是，他们对语言模块的具体看法存在差异，这也正是导致他们采用不同模式架构语法的根源。

一种典型的认知模块观就是Fodor的模块观<sup>[17]</sup>。Fodor认为，心智/大脑的许多功能可以被当作“心智器官”或“加工模块”，语言也是一个模块。FL是一个领域特定、信息完全闭塞的结构模块，没有入口通向认知结构，因此，句法和语义之间是完全孤立的，语言就如感知，只是一个输入系统。Jackendoff并不赞同Fodor的这种“绝对模块观”，虽然他承认模块在领域特定范围一定程度上是封闭的。他更关注的是在何种程度上结构的一个层面不同于其他层面。因而他坚持的是一种“结构限制模块”——句法和语义通过句法—语义接口得以限制，而这正是“平行架构模式”的基本立足点。将语言能力和语言表现结合起来研究的方式，实际上是将语言置于一般认知下来研究。Chomsky同样认为，FL不是绝对独立的，它在许多方面都与身体的其他官能有密切关系，因而他也不赞同“绝对模块观”。与Jackendoff不同的是，他及其同行认为，长期以来人们将语言作为一般认知研究，未能区分人的语言和动物交际相似的部分和相同的部分，因此有必要将FL做进一步区分，将人与动物共有的部分与独有的部分分离开来<sup>[18]</sup>。FL分为广义语言官能（Faculty of Language in Broad Sense/FLB）和狭义语言官能（Faculty of Language in Narrow Sense/FLN）。FLB包括内在的运算系统（FLN）以及至少另外两个有机系统——SM和CI；FLN仅包含递归（Recursion），是人类语言区别于动物交际的独有特征。这样，我们可以暂时不顾人类语言和动物交际相同的部分，而在相似的部分中寻找差异。对FLN的研究就是递归能力研究，而在句法表征上，就是递归合并的语段推导



模式。因此，将FL限定在FLN范围之内正是当前Chomsky语法模式的立足点。综上所述，造成两种语法模型不同的原因在于两者在句法-语义接口问题上，或者说句法与概念意旨的接口上所持观点的不同。

## 5. 结束语

两种语法结构模式都是为了揭示语言能力的本质，但前者便于操作，且理论建设成熟，受到不少人的欢迎，但是其单一性背离了语义解释方向，而语义恰恰是语言能力不能忽视的一部分；后者减轻了句法部分的负担，将语言、心智和世界融为一体，不失为一种完美的构想，但增加了语法系统的复杂性，其解释力还有待验证。两种模式的差异的根源在于双方对待作为整个认知模块中的一部分的FL处理方式不同。从方法上看，Chomsky主张语言能力内部的区分，并将关注的焦点集中到FLN，这正是他一贯坚持的“最简”原则的体现，该方法可能是一种比较有效的尝试，至少是在传统的将语言认知视为一般认知的研究成效不高的情况下提出的一种新路径。一方面，我们还未彻底地弄清楚人和动物的概念-意旨系统的异同，将FL与一般认知结合研究是完全必要的；另一方面，寻找FLN才是我们真正追求的目标。目前，两种路径均在语言学界产生了广泛的影响，得到了来自生物学、考古学、神经科学、计算机科学等多门学科的学者们的关注，推动了与语言研究相关的交叉学科的快速发展。

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## An Intertextual Reading of Zora Neale Hurston's *Moses, Man of the Mountain* and the Pentateuch

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**Keywords:** Moses; Intertextuality; Racial emancipation.

**Abstract.** Zora Neale Hurston is widely acclaimed as “the literary foremother” of African American female writers. Her novel *Moses, Man of the Mountain* (1939) is a rewriting of the Pentateuch. Based on Gerard Genette’s theory of intertextuality, the paper analyzes the co-presence relation and transformation relation between the two texts with a hope of exploring Hurston’s narrative device and her thematic concern of racial emancipation.

## 《摩西，山之人》与《摩西五经》的互文性解读

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**关键词:** 摩西; 互文性; 种族解放

**中文摘要.** 佐拉·尼尔·赫斯顿(1891-1960)是美国哈莱姆文艺复兴时期一位重要作家, 被誉为“黑人女性文学之母”。赫斯顿的第三部小说《摩西, 山之人》是赫斯顿改写策略应用最为突出的一部小说。热奈特的互文性理论认为蓝本与承文本之间应包含以下三种关系: 互现、改造和模仿。本文通过分析承文本《摩西, 山之人》对蓝本《摩西五经》之间的共存关系和改造关系以进一步探讨“黑人女性文学之母”赫斯顿的文学创作策略及其所关注的种族解放主题。

### 1. 引言

佐拉·尼尔·赫斯顿(Zora Neale Hurston, 1901-1960)是美国哈莱姆文艺复兴时期一位重要作家, 被誉为“黑人女性文学之母”。赫斯顿是一位多产的作家, 一生中共写了四部长篇小说:

《约拿的葫芦蔓》、《他们眼望上苍》、《摩西，山之人》和《苏旺尼的六翼天使》；两部民俗文化著作《骡子与人》和《告诉我的马》；一部自传《道路上的尘迹》还有五十多篇散文和短篇小说。国外许多批评家已经指出“改写”是赫斯顿有意识采用的一种创作策略。埃里克·J.桑奎斯特（Eric J. Sundquist）在他名为“长着人类皮肤的鼓”的论文中指出“赫斯顿改写语境和语言，使故事讲述的更清晰、更具有戏剧性”<sup>[1](p.64)</sup>；琳达·马里恩·希尔（Lynda Marion Hill）写道“在赫斯顿给休斯的信中，她指出，绝大多数时候，她没有更改故事材料（story material），而是大量地改写描述性材料（descriptive material）”<sup>[2] p.(46)</sup>。

赫斯顿的第三部小说《摩西，山之人》是赫斯顿改写策略应用最为突出的一部小说。仅从小说的标题读者就知道该小说与圣经中的《摩西五经》（包括旧约首五卷书——创世记、出埃及记、利未记、民数记，及申命记）有直接的关系。的确，这部小说从故事情节上来看几乎完全与《摩西五经》一致，两个文本都讲述了摩西带着上帝的选民逃离埃及、穿越荒原、来到福地的故事。可以说《摩西，山之人》是赫斯顿有意识地对《摩西五经》的改写。

互文性通常被用来指示两个或两个以上文本间发生的互文关系。热奈特是结构主义互文性的代表<sup>[3](p. 89)</sup>。结构主义的互文性更加关注先前的某一文本与派生出来的某个文本之间具体的关系。热奈特在《隐迹稿本：第二度的文学》一书中把先前的某一文本称作蓝本，而派生出来的二级文本被称作承文本。蓝本与承文本之间应包含以下三种关系：互现关系、改造和模仿。热奈特认为改造文本的方法包含删减和扩写。本文通过分析承文本《摩西，山之人》对蓝本《摩西五经》之间的共存关系和改造关系以进一步探讨“黑人文学之母”赫斯顿的文学创作策略——改写。

## 2. 共存关系

共存关系指的是：“两个或若干个文本之间的互现关系，从本相上最经常地表现为一文本在另一文本中的实际出现”<sup>[4] (p.1-2)</sup>。引语、寓意（Allusion）和剽窃都是承文本和蓝本共存的形式。文章的标题《摩西，山之人》富有寓意，从标题，读者就明白小说的主人公是摩西。摩西是遭受压迫和奴役的人们寻求解放和自由的象征。而从小说的故事情节来看，几乎《摩西五经》完全一致，可以说小说故事情节是对《摩西五经》的剽窃。两者都讲述了希伯来人变成了新的埃及王朝统治下受苦的奴隶，摩西出生被埃及王的女儿收养，因杀了埃及工头，逃离埃及来到米甸，娶了缅甸祭司女儿为妻，后来接受了上帝的召唤，到埃及把希伯来人拯救出来，并在荒野呆了40年后准备进入福地迦南的故事。

为什么赫斯顿要“剽窃”摩西的故事呢？首先，希伯来人在埃及变成了奴隶，然后他们经历了千辛万苦，最后他们来到了福地迦南获得了自由和幸福。从本质上来说，摩西的故事是一个寻求解放和自由的故事。另外，在黑人民俗作品和灵歌中，黑人长期以来有一个传统，他们喜欢把以色列人的困境当作自己的困境。赫斯顿遵循这个传统，用圣经故事来映射当前时事。美国20世纪初仍然是种族歧视非常严重的时期。1920年11月3号，在离赫斯顿的家乡伊顿维尔不远的1920 奥科伊几个白人屠杀了一群争取选举权的黑人，结果35人遭到屠杀，史称“奥科伊大屠杀”。对于非裔美国人来说，虽然他们获得了自由，然而他们还遭受着各种形式的种族歧视，还远远没有获得种族解放。所以，赫斯顿“剽窃”了《摩西五经》的故事，探讨非裔美国人寻求自由、平等之路。

## 3. 改造关系之删减

删减指的是删除蓝本中的部分信息。热奈特提供了一个例子：“为了改造一个文本，一个简单的和机械的姿态可能足够了（一个极端的例子就是撕掉一页或几页）”<sup>[5](p.6)</sup>。赫斯顿的承文本《摩西，山之人》借用了《摩西五经》的故事情节，删减了大量有关希伯来律法的内容。赫斯顿的唯一提到的律法材料只有摩西十诫。值得一提的是，她对摩西

十诫的引用可以被描述为太简单,因为她从不详细说明这十诫的内容。我们唯一知道的是“摩西学了十个来自于上帝的单词、吸收了这十个单词的力量,然后转化成十诫”<sup>[6](P.281)</sup>。

然而《摩西五经》的核心内容是律法。伯恩哈德·W·安德森(Bernhard W. Anderson)在他的专著《理解旧约》中做了如下统计(96):《出埃及记》40章中有20章有关律法(主要内容是“摩西十诫”、民事和宗教法律)。《利未记》共有27章,几乎讲的大半为祭司的权责和一些管理以色列人精神、道德与肉身生活的法例。《民数记》共有36章,其中17章内容是关于律法和人口普查信息。在《申命记》34章中有23章是对前面律法的重复。《摩西五经》为什么会包含如此多的律法材料呢?该书并不是为了简单的讲述以色列人寻求解放的历史故事,而是探讨了以色列人理解的神学历史。可以说,《摩西五经》最主要的意图就是“揭示希伯来人上帝的本质”。这些律法是人与神之间的契约。“契约关系是以色列社会的基础”<sup>[7](P.107)</sup>。神带领他们离开为奴的埃及,他们得到救赎。得到救赎的以色列人同上帝立约,并且只有当以色列人百分之百遵循了神约之后,他们才有可能进入福地迦南。对于以色列人来说,进入福地迦南是因上帝庇佑。因此,福地迦南是人们“满怀谦卑和感激接受的礼物”<sup>[8](P.186)</sup>。通过大量律法内容的书写,《摩西五经》指出遵守神约是获得解放的前提。

为什么赫斯顿要删减这些律法材料呢?通过对律法材料的删减表明赫斯顿不关注人与神之间的合约,她不相信人会因神力而获得解放。那么在赫斯顿的《摩西,山之人》中是什么力量使得人们摆脱埃及的苦难,来到满是蜂蜜和牛奶的福地迦南呢?赫斯顿通过改造的另一方法——扩写来回答这个问题

#### 4. 改造关系之扩写

扩写是承文本对蓝本改造的另一重要方法。赫斯顿把《出埃及记》1-14章扩写成近240页的小说。通过扩写,赫斯顿笔下的摩西不再是上帝的配角,而成为比上帝更加厉害的伏都教法师。“圣经和历史都从未详细描写过摩西的少年生活”<sup>[9](P.261)</sup>。而赫斯顿笔下的摩西充满了想象力,“想象可以使摩西成为非洲人而不是希伯来人,伏都教法师而不是神的使者”<sup>[10](P.257)</sup>。赫斯顿《作者前言》中写到:“在世界上广泛流传着关于摩西的其他概念……非洲有关于摩西的口头传说。整个非洲大陆都有着关于摩西之伟大的种种传说……”<sup>[11](P.xxii)</sup>,作为在南方和海地、牙买加等地有实地考察经验的人类学学者,赫斯顿指出,在海地的伏都教中最高神丹巴拉与摩西为同一人,他作为蛇神被崇拜。伏都教(Voodoo也称作Hoodoo)来源于古老的非洲,原来是流行于西非加纳等地的一种神秘宗教。16世纪时,海地沦为法国殖民地,法国的白人殖民者把大量非洲黑奴贩卖到海地,也把流行于非洲的原始宗教带到了海地,后来这些非洲黑奴将这种原始宗教与基督教相混合,便形成了伏都教,在美国南部及南美洲的黑人中盛行。

希尔(Lynda M. Hill)在他的专著中指出,要想成为一名伏都教法师,必须要有天赋,当学徒,然后接受“召唤”<sup>[12](P.141)</sup>。摩西在他外祖父的皇宫之中成长的童年经历表明摩西具有成为伏都教法师的天赋,而在一个叫米甸的地方遇见的当地部族的首领叶忒罗成为了他的导师。

摩西具有成为伏都教法师的天赋。童年时期的摩西对人与自然充满好奇。刚开始,他就“一直问仆人们什么、怎么、为什么等问题直到他们想方设法转移他的注意力”,然后他就会问园丁和马夫们许多问题:“青蛙是植物吗?如果不是植物,它为什么会在花园里呢?是谁把它放在了这儿?为什么青蛙要到花园?为什么天空是蓝色的?谁把天弄弯了?天曾经掉下来吗?……”<sup>[13](P.54)</sup>。对于许多人来说这些现象非常自然,然而童年时期的摩西却有着对大自然十分亲近的天赋。在众多问题中,有的是没有得到回答,而有的问题得到了宫廷里的一位名叫门图的马夫的回答。门图不识字,他对摩西的教导通过讲民间故事进行的,民间文

化成了摩西成长的基础。他这样告诉摩西世界的起源：“多数事物出生在母亲一样的黑暗之中，多数事物都会死去。黑暗是创造的子宫……太阳是个七只角的火焰，他是生命的父亲。”<sup>[14] (p.56)</sup> 对于权势，门图抱有嘲弄的态度。当他看到摩西用小石头建造的宫殿似的玩具房子时，他借蜥蜴的口吻说：“它认为你疯了……它认为所有的房子只是巢穴而已……它在问为什么人类要为自己的配偶建这么大的房子？难道怕蛋被别人偷走吗？”<sup>[15] (p.58)</sup> 摩西虽然成长在埃及宫廷，但是门图的教诲使他摆脱了法老们的等级和统治观念，使摩西热爱自然、崇尚平等、对受压迫者充满同情之心。然而，在《摩西五经》中从未对童年摩西的生活有详细的描述。我们只知道：“孩子渐长，妇人把他带到法老的女儿那里，就作了他的儿子。她给孩子起名叫摩西，意思说：‘因我把他从水里拉出来’。后来摩西长大，他出去到他弟兄那里，看他们的重担，见一个埃及人打希伯来人的一个弟兄。他左右观看，见没有人，就把埃及人打死了，藏在沙土里。”（Exod.10-11-12）摩西在《摩西五经》只是神的代言人，他成长的心路历程对于构造人和神的契约关系并不重要。赫斯顿通过扩写，把摩西塑造成了一位在黑人民间文化中成长的热爱自然、崇尚平等的人。

虽然摩西有一定的天赋，然而要想成为伏都教法师必须要找一位老师。摩西在一个叫米甸的地方遇见了当地部族的首领叶忒罗和他的女儿们。他因为帮助了叶忒罗的女儿们，受到叶忒罗的款待并被邀请长住下去。叶忒罗还让一个叫西坡拉的女儿作了摩西的妻子。摩西的岳父叶忒罗是摩西成长为伏都教法师最为重要的一位导师。赫斯顿写到：“他和叶忒罗呆在一起很长时间，他们一起谈论各种象征的意义，而叶忒罗是老师。”<sup>[16] (p.128)</sup>。叶忒罗对摩西讲：“我知道山之神在等待着你。你比我要强一百倍。伟大的上帝摘取了世界的灵魂，用一些肉将它包裹起来造就了你。你是在这座山上被等待的人。你能眼观六路、耳听八方。你是山之子。”<sup>[17] (p.137)</sup> 最终在叶忒罗的影响下，摩西掌握了大自然的语言，成为了伏都教法师，拥有了改变世界的力量。“一名伟大的伏都教法师可以改变精神状态和自然环境。”<sup>[18] (p.119)</sup> 因此，在米甸，每当他举起他的右手，他便可以让动物和昆虫出现，便可以改变天气；后来，在与埃及法老Ta-Phar对抗中，他举起他的右手，便可以把牧师的手杖变成蛇，把水变成血，让青蛙从水里跑出来，使埃及人的长子死掉，让红海海水变干……；摩西也可以改变人的心理状态，他可以让法老的心更加刚硬。而在《摩西五经》中，摩西在米甸的生活描写得也十分简单。读者只知道：摩西帮助米甸祭司七个女儿赶走坏人，又饮了他们的群羊，回家后：“祭司说‘那个人在哪里？你们为什么撇下他呢？你们去请他来啊吃饭’摩西甘心和人同住；那人把他的女儿西坡拉给摩西为妻”（Exod.20-21）。读者仅仅知道摩西来到米甸，并娶了叶忒罗的女儿，但是叶忒罗并没有教导摩西，摩西也并没有神力。在与法老的对抗中，《摩西五经》中让上帝的心刚硬的人是上帝，让自然环境变化的也是上帝。而在《摩西，山之人》中，“上帝似乎在哪儿，但细读文本之后发现他似乎又不在那儿”<sup>[19] (p.101-2)</sup>，因为，成为伏都教法师的摩西自己便具有强大的法力，靠着他的法力，他引导着受奴役的人获得解放。

赫斯顿反对《摩西五经》中通过遵守神约而获得解放，因为宗教思想“帮助奴隶构建了想象中的精神世界，以免于受到地位低下的伤害”<sup>[20] (p.258)</sup>。赫斯顿认为，黑人文化中原生的力量才是黑人获得解放的重要途径。通过扩写，她把基督教文化中上帝的使者摩西转换成黑人文化中的伟大的伏都教法师。对于非裔美国人来说，伏都教是一套非常复杂的宗教，它“带着被压制的宗教的热烈，像火焰一样熊熊燃烧……它可以让无权的人们获得力量”<sup>[21] (p.119)</sup>。伏都教是黑人应付各种挑战的方法——从孤独、背叛到法律纠纷和经济危机。因此，当把摩西改写成伟大的伏都教法师后，摩西就成了对白人种族歧视的“隐含的抗议”的象征。

## 5. 结束语

通过互文性策略的应用，赫斯顿思索着黑人种族解放之路。通过对《摩西五经》的删减，赫斯顿否定了靠神约获得种族解放的观点，通过在《摩西五经》的基础上添加内容，赫斯顿赞美了伟大的伏都教法师摩西，抗议了白人的种族歧视，肯定了解放只能发生在世俗领域的

观点。很多黑人作家都探讨过种族解放的问题，多数作家写的都是抗议小说，而赫斯顿写的赞美小说被认为是为了“讨好”白人读者写的。事实上，赫斯顿并非一味“讨好”，她通过改写经典来探讨黑人所关注的解放主题。黑人文学研究专家盖茨（Henry Louis Gates Jr.）指出“对于赫斯顿来说，原创与模仿之间的区分是错误的区分，因为要让黑人作家避免重复、改写和重新阐释就是让他们屈服于一个反映种族主义意旨的政治观点”<sup>[22]</sup>（p.188）。可见，改写经典是赫斯顿非常重要的创作策略。通过使用该叙事策略，赫斯顿委婉地对所处时代的种族歧视进行了反抗，并对解放主题进行了反思。

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## The Status-quo of the Lexical Knowledge of English Majors ---A Case Study

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**Keywords:** Lexical knowledge; Vocabulary size; Depth of word knowledge; English majors.

**Abstract.** This study aimed to investigate the current situation of the lexical knowledge of English majors in a normal university in China. A group of 58 students at the intermediate English level were randomly selected and their vocabulary size and depth of word knowledge were tested. The data were analyzed via SPSS17.0. Results show that: 1) The vocabulary size and the depth of word knowledge of the subjects are relatively low according to the English teaching syllabus. 2) The breadth and the depth of word knowledge of the subjects are positively correlated. 3) Subjects with different English level differ significantly in vocabulary size as well as in depth of word knowledge.

## 英语专业学生词汇知识现状个案研究

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**关键词:** 词汇知识; 词汇知识广度; 词汇知识深度; 英语专业学生

**中文摘要.** 本研究在二语词汇习得理论指导下, 考察一所师范大学英语专业二年级学生的词汇知识现状。通过对58名英语专业大二学生进行的词汇知识广度、词汇知识深度测试, 并对数据进行统计分析, 本研究发现: 师范院校英语专业学生的词汇量较小, 词汇知识深度水平较低, 离大纲的要求还有差距。词汇知识广度和深度呈现中度正相关, 不同语言水平的学生的词汇知识广度和深度存在显著差异。

### 1. 引言

词汇能力是衡量学习者语言水平的一个重要因素。词汇能力由两个维度组成: 不同类型的词汇知识以及运用词汇知识的能力(吴旭东等, 2000)。词汇知识涵盖词汇知识广度和深度两个方面。词汇知识广度指的是词汇量; 词汇知识深度不仅是词的各种特征的集合, 还包含词与词相互联系形成的词汇网络(Milton, 2009)。对一个词的深度习得就意味着具备了该词



各层面的知识及运用这些知识的能力。高级语言学习者不仅要有足够大的词汇量,还要有对这些词汇掌握的深度和反应速度,从而获得轻松、准确的理解和有效的口头和书面表达。因而,词汇学习的过程是学习者积极建构词汇知识并不断获得词汇能力的过程。

在二/外语词汇研究方面,国内外早期的研究主要集中在词汇知识广度方面:调查学习者在不同学习阶段所需的词汇量(如Hazenbergh & Hulstijn 1996; Laufer, 1992)、学习者通过阅读所获得的词汇量(如Huckin et al., 1993; Nagy et al., 1985)以及学习者通过各种练习和学习策略所能掌握的词汇量等(如Avila & Sadoski, 1996; Cohen & Aphek, 1980)。从本世纪初开始,我国研究者开始关注词汇深度知识的理论和实证研究(吴旭东等, 2000; 刘绍龙, 2001; 吕长站, 2004; 张学宾等, 2006; 王海华等, 2007; 谭晓晨, 2006, 2007; 崔艳嫣, 2010; 张萍, 2007, 2009, 2010)。上述研究发现:我国英语学习者词汇知识广度与深度的发展不平衡,词汇深度习得滞后于词汇广度习得。具体表现为产出性词汇知识的发展效率远远低于接受性词汇知识的发展效率,在积极词汇的搭配和语用知识等方面尤为薄弱。中高级英语学习者虽然已拥有较大的词汇量,但在口语和笔语中使用的词汇仍停留在大量频繁使用的、最常用的头1000个通识词汇层级上,无法自如使用二级以上的单词来进行交际,尤其是在口语的用词上与本族语者相差甚远。学习者即使达到了高级语言水平(即拥有8000多接受性词汇量时)仍未建立起产出时能依赖的语义网络(吴旭东等, 2000)。由此可见,我国英语学习者的词汇能力发展极不平衡。

桂诗春, 杨惠中(2003)根据“中国学习者英语语料库”的分析发现:中国学习者词汇方面的错误占到错误总数的50%以上,语言水平越高级的学习者在句法方面的错误越少,但是在词汇方面的错误却越多。词汇能力的不足已经成为制约二/外语学习者语言能力发展的瓶颈问题。本研究以中国西部一所师范大学英语专业大二学生为研究对象,通过测试全面考察他们的词汇知识现状。研究中国英语学习者词汇知识现状,可以为有效地开展二/外语词汇教学,拓展学习者词汇知识深度,促进学习者词汇能力发展提供必要的实证数据和参考。

## 2. 研究设计

### 2.1 研究问题

本研究回答以下三个问题:

- 1) 师范院校英语专业学生的词汇知识总体水平(词汇知识深度和广度)如何?
- 2) 英语专业学生的词汇知识广度和深度之间的相关性如何?
- 3) 不同二语水平的学习者词汇知识是否存在显著差异?

### 2.2 研究对象

本研究从英语专业二年级“英语时文阅读”选修课中随机选择58名学生参与测试,其中男生3人,女生55人,学生的年龄在18-20岁之间。英语专业二年级学生通过近两年的专业学习,已掌握一定的词汇量和基本的英语技能。根据《高等学校英语专业英语教学大纲》(2000)的要求,英语专业二年级学生应通过各种途径认知词汇5500-6500个,正确而熟练地运用其中的3000-4000个及其最基本的搭配。因此,研究对象能完成本研究要求的词汇测试任务。

### 2.3 研究工具

本研究中词汇知识广度测试选用Schmitt(2001)开发的词汇水平测试量表(VLT)(<http://www.lex tutor.ca/tests/>),词汇知识深度采用Read(1998)开发的词汇知识深度测试(DVKT)(<http://www.lex tutor.ca/tests/associates/>)。词汇水平测试(VLT)以纸笔方式进行,而词汇知识深度测试题(DVKT)通过在线测试自动评分。

#### 2.3.1 词汇水平测试量表

词汇水平测试量表(VLT)的测量单位为词族(word family),目标词的选词方式是从大型词频表中分层抽样。普通词汇分四个词频级:2000词、3000词、5000词和10,000词。上

述词频级的测试目标词是以Thorndike和Lorge根据1千8百万词文本统计的词频表为基础，与Kučera和Francis的Computational Analysis of Present-Day American English进行比对而确定。每词频级包含10组单词，分别为5组名词、3组动词和2组形容词。每组内有6个词性相同的单词，要求与3个解释意义搭配，其中3个为干扰项，因此，每个词频段共有30个目标词。目标词的解释意义为该词汇最核心最基本的意义，2,000词测试的解释用词为GSL首1,000词频，其余级别测试用词则均来自于2,000词词频。学术词汇（academic words）共12组，每组6个词，含目标词36个，干扰词36个。抽样源于Coxhead（2000）最新研制的Academic Word List，旨在测量大学生阅读专业资料时最常见的词汇。测试采取搭配形式，目标词单独出现，不提供上下文。评分标准为选对一个释义得1分，选错则为0分。该词汇测试量表被Meara & Alcoy（2010）评价为“可能是20年来词汇习得研究最重大的进展”。

2.3.2 词汇知识深度测试卷

词汇知识深度测试卷（DVKT）测试两方面的词汇知识：意义和搭配。DVKT的40个目标词全部为形容词，且都具有多个意义和用法。目标词抽样源自Barnard Second and Third Thousand Word Lists (Nation 1986)。每题由一个刺激词（stimulus）和8个选项组成。8个选项分为两组，每组4个词。以下为DVKT的测试题型示例：

Fresh							
A. another	B. cool	C. easy	D. raw	E. cotton	F. heat	G. language	H. water

左边方框内有1到3个词和目标词有同义关系，右边方框内有1到3个词和目标词有搭配关系。要求被试从这两组词中选出4个与目标词在语义和搭配上相关的词。被试选出一个正确答案得1分，满分为160分。DVKT的信度为 0.93（Read，1998）。

2.4 数据收集与分析

在“英语时文阅读”开课前，研究者对58名参与者进行了词汇量水平和词汇知识深度测试，并对词汇量测试进行人工评分，所有测试得分输入Excel表格，然后使用SPSS17.0对数据进行统计分析。根据学生两学年英语专业课程的平均学分绩点（General Point Average, GPA）作为区分学生英语水平的依据，将参与者分成高（GPA≥80分，15人）、中（70≤GPA≤79，34人）、低（GPA≤69，9人）三个水平。

3. 结果与讨论

3.1 师范院校英语专业学生的词汇知识总体水平

表1描述了词汇知识广度测试（VLT）成绩的均值和标准差。VLT的总分是156分，统计数据显示学生的词汇知识广度得分较低（M=97.7241），且学生间的差异较大（SD=14.11953）。四个词频级的得分情况为：2000-3000词频得分最高，10000词频最低。这说明学生的词汇水平仍停留在最常用的头2000-3000个通识词汇层级上，无法自如使用高级词汇来进行交际。

表1 VLT成绩描述统计

	N	极小值	极大值	均值	标准差
词汇知识广度VLT	58	58.00	128.00	97.7241	14.11953
有效的 N （列表状态）	58				

表2描述了词汇知识深度测试（DVKT）成绩的均值和标准差。DVKT测试的总分为160分，数据显示测试的均值偏低（M=104.0172），说明学生的词汇深度知识仍存在不足。标准差的值较大（SD=15.21483），说明他们的词汇深度知识水平差异较大。词汇技能发展有四个等级：a.词汇的积极回忆（active recall）、b.消极回忆（passive recall）、c.积极识别（active

recognition) 和d.消极识别 (passive recognition) (Goldstein,2004)。这四个层级的难度由a-d依次递减。DVKT测试的内容难度属于积极识别这一级。从数据结果来看, 这部分学习者的词汇水平还停留在识别意义的层面, 且这方面的能力也还不完善。

表2 DVKT成绩描述统计量

	N	极小值	极大值	均值	标准差
词汇知识深度DVKT	58	45.00	132.00	104.0172	15.21483
有效的 N （列表状态）	58				

3.2 英语专业学生的词汇知识广度和深度之间的相关性

皮尔逊r相关分析结果显示, 词汇知识深度和广度之间存在中等程度的正相关关系( $r=.437$ ,  $p=.001<0.05$ )。数据分析结果说明学习者的词汇知识广度与深度之间是相互联系的。通常情况下, 词汇知识广度是深度发展的前提条件。刘绍龙 (2001) 的研究发现, 二语词汇知识的不同层面之间不是相互分离、独立发展的, 而是相互联系、共同发展, 尽管相互之间在发展速度、发展水平方面可能存在差异。

表3 VLT和DVKT成绩相关性

		词汇知识广度	词汇知识深度
接受性词汇量	Pearson 相关性	1	.437**
	显著性（双侧）		.001
	N	58	58
词汇知识深度	Pearson 相关性	.437**	1
	显著性（双侧）	.001	
	N	58	58

3.3 不同二语水平的学习者词汇能力是否存在显著差异？

本研究还考察了不同二语水平的学习者的二语词汇知识广度和深度是否具有显著差异。以下是对高、中、低水平的三组学习者词汇知识广度和深度测试成绩进行方差分析的结果。

表4 不同语言水平学习者词汇知识描述分析

		N	均值	标准差	标准误	均值的 95% 置信区间		极小值	极大值
						下限	上限		
词汇知识广度	高	15	111.0667	9.16879	2.36737	105.9892	116.1442	94.00	132.00
	中	34	103.6471	17.06651	2.92688	97.6923	109.6018	45.00	125.00
	低	9	93.6667	9.30054	3.10018	86.5176	100.8157	82.00	109.00
	总数	58	104.0172	15.21483	1.99780	100.0167	108.0178	45.00	132.00
词汇知识深度	高	15	109.4667	5.92653	1.53022	106.1847	112.7487	99.00	121.00
	中	34	97.0000	12.30915	2.11100	92.7051	101.2949	70.00	128.00
	低	9	84.2222	14.23708	4.74569	73.2786	95.1658	58.00	102.00
	总数	58	98.2414	13.78063	1.80948	94.6179	101.8648	58.00	128.00

表4描述了不同语言水平的三组学习者词汇知识广度和深度的均值和标准差。数据显示, 三组学习者的词汇知识水平存在差异: 高水平组的词汇知识测试最高分、最低分、平均分均高出中、低水平组, 而标准差则小于中、低水平组。这说明高水平组的词汇知识水平高于中、低水平组, 且高水平组内的差异较小, 中、低水平组内差异更大。

单因素组间方差分析(表5)显示,不同语言水平的三组学习者词汇知识广度成绩有显著差异( $F(2,55)=4.106, p<0.05$ )。不同语言水平的三组学习者词汇知识深度成绩有显著差异( $F(2,55)=14.348, p<0.05$ )。

表5 不同语言水平学习者词汇知识单因素方差分析

		平方和	df	均方	F	显著性
词汇知识广度	组间	1714.285	2	857.142	4.106	.022
	组内	11480.698	55	208.740		
	总数	13194.983	57			
词汇知识深度	组间	3711.332	2	1855.666	14.348	.000
	组内	7113.289	55	129.333		
	总数	10824.621	57			

事后差异检验(表6)进一步对不同层次的学习者的词汇知识进行多重比较发现:就词汇知识广度而言,高水平组和低水平组之间的差异显著( $p=.018<0.05$ ),高水平组和中等水平组没有显著差异( $p=.310>0.05$ ),低水平组和中等水平组之间差异不显著( $p=.212>0.05$ )。词汇知识深度方面,高水平组和中、低水平组之间,中等水平和低水平之间均存在显著差异( $p<0.05$ )。数据分析结果说明不同二语水平的学习者在二语词汇知识方面存在差异,高、中水平的学习者与低水平学习者的词汇知识差异显著。刘绍龙(2001)通过对不同水平的二语学习者词义和词缀习得的实证研究也发现,二语词汇知识与二语水平、二语词汇量之间是相互联系的。

表6 单因素方差分析事后差异检验

因变量		(I) 语言水平	(J) 语言水平	均值差 (I-J)	标准误	显著性	95% 置信区间	
							下限	上限
词汇知识广度	Bonferroni	高	中	7.41961	4.47833	.310	-3.6392	18.4784
			低	17.40000*	6.09174	.018	2.3570	32.4430
		中	高	-7.41961	4.47833	.310	-18.4784	3.6392
			低	9.98039	5.41597	.212	-3.3939	23.3546
		低	高	-17.40000*	6.09174	.018	-32.4430	-2.3570
			中	-9.98039	5.41597	.212	-23.3546	3.3939
词汇知识深度	Bonferroni	高	中	12.46667*	3.52506	.002	3.7618	21.1715
			低	25.24444*	4.79504	.000	13.4035	37.0854
		中	高	-12.46667*	3.52506	.002	-21.1715	-3.7618
			低	12.77778*	4.26312	.012	2.2504	23.3052
		低	高	-25.24444*	4.79504	.000	-37.0854	-13.4035
			中	-12.77778*	4.26312	.012	-23.3052	-2.2504

\*. 均值差的显著性水平为 0.05。

4. 结语

词汇能力是个多维的概念,既包括不同类型的词汇知识,还包含在口笔语交际中积极运用这些词汇知识的能力,而词汇知识是词汇能力发展的基础和前提。研究结论证实,师范院校英语专业学习者的词汇主要集中在高频出现的通识级词汇,词汇知识深度水平较低,离英

语专业教学大纲的要求还有差距；词汇知识广度和深度呈现中度正相关，不同语言水平的学生的词汇知识广度和深度存在显著差异。外语学习者的词汇能力是影响外语学习成败的重要因素之一。因此，系统深入地探索能有效提高学习者词汇知识习得水平，发展外语学习者词汇能力的教学方法和手段具有一定的理论和现实意义。

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## Analysis on Language Construction of Modern Football Culture --English Lexicon in World Cup as Examples

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**Keywords:** World Cup; Lexicon; Word-formation; Football culture.

**Abstract.** The World Cup, an international competition held every four years, acts as a perfect interpretation for the modern football. Based on the English lexicon in World Cup and the theory of linguistic word-formation, the paper expounds the features on the language construction of the modern football culture, including various word-formation characteristics in the vocabulary, their respective functions as well as the modern football culture carried, which holds an essential platform for revealing the far-reaching social and historical values of human football sports.

## 论现代足球文化的语言建构 —以“世界杯”英语语汇为例

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**关键词：**世界杯；语汇；构词法；足球文化

**中文摘要。**四年一度的“世界杯”既是国际性赛事，又是对现代足球运动的完美诠释。通过对世界杯英语语料库的搜集整理，基于语言学构词法的视角，分析现代足球文化的语言建构特色，包括不同语汇的构词法特征，它们所发挥的具体功能，以及所承载的现代足球文化，对揭示人类足球运动源远流长的社会及历史价值有着重要的借鉴作用。

### 1. 引言

足球运动是当今世界最具影响力的运动。全球约有两亿人从事足球职业，拥有数十亿的球迷观众。足球的通俗化为全世界的孩子们提供了做“巨星梦”的机会；足球比赛结果的不可预知性让全世界球迷为之狂热不已；足球绿茵场上英姿飒爽的明星身影永远是人们津津乐道

的谈资。足球的魅力也在于它的争议性,它的整体性、大局性、精细性,以及对抗性,现代足球已经完全超越了竞技体育的局限,它已然集政治、经济、教育、哲学于一身,成为独树一帜的文化现象。

世界杯(World Cup)是当今全球最高水平的足球比赛,与奥运会、世界一级方程式锦标赛并称为世界三大顶级赛事。四年一度的盛会将足球文化的巨大魅力推向了极致,这个过程不仅带来了丰厚的经济利润,也为世人奉送了美妙绝伦的精神盛宴。众所周知,国际足联(FIFA)的官方语言有英语、法语、德语和西班牙语,但是英语的重要地位毋庸置疑。回顾近年来国内有关体育英语的研究资料,杨飞指出体育英语最大的特色就是大量专业词汇的运用以及不同领域用语向体育领域的映射<sup>[1]</sup>;余阳发现网络体育英语新闻标题在词汇、结构、时态和修辞方面具有自身独特的文体特征<sup>[2]</sup>;肖腊梅和刘建平从构词和使用两个方面,分析了体育英语词汇的特点<sup>[3]</sup>。此外,谭新星对第19届世界杯足球赛上出现的足球英语新词和热词进行了罗列和总结<sup>[4]</sup>,基于上述研究基础,本文力图探索足球——这样一种为全球各族人民所狂热追捧的竞技运动项目与语言文化之间千丝万缕的联系,旨在从语言建构的视域讨论足球运动在人类社会生活中所扮演的特殊角色,具有较强的现实意义。

## 2. 世界杯与足球文化

从8世纪到19世纪,现代足球运动的前身以各种方式在欧洲存在着。1863年,第一份正式的足球比赛规则在英国创立,也标志着现代足球运动真正意义上的诞生。19世纪末,创立于1871年的挑战杯(足协杯)足球联赛已然成为全英国最重要的体育赛事,现代足球也逐渐传播到欧洲大陆和世界其他地区。1904年5月,7个欧洲国家在巴黎组建了国际足球协会联合会,此后很长一段时期,国际足联主席的职务都由英国人担任。1896年,第一届现代奥运会在希腊雅典举行,足球被列为正式比赛项目。1928年荷兰阿姆斯特丹奥运会结束后,国际足联召开会议,一致决议举办四年一次的世界足球锦标赛。这对于现代足球运动的飞速发展起到了巨大的推动作用。1956年,国际足联在卢森堡召开会议,决定将“世界足球锦标赛”易名为“雷米特杯赛”,以表彰前国际足联主席法国人雷米特为足球运动所做出的杰出贡献,后来在赫尔辛基会议上又更名为“世界足球锦标赛——雷米特杯”,简称“世界杯”。1970年,巴西队成为第一支三夺世界杯的球队,因此获得了“雷米特杯”的永久保留权。此后在1971年,意大利雕塑家西尔维奥·加扎尼加的创意在53件作品中被选中,从此象征足坛最高荣誉的“大力神杯”诞生了。

从文化的角度来看,世界杯赛事是一种特殊的文化意识形态:足球能够踢出一个民族特有的文化气质,从而展示鲜明的民族精神。只有在世界杯的赛场上,我们才可以酣畅淋漓地享受不同国度、不同民族的足球风格与风采。现代足球的辉煌与世界杯有着密切的关系,世界杯赛事是对于现代足球文化的一种最好阐释,它完整地展现出了一幅立体的足球文化图景<sup>[5]</sup>。人们对世界杯的翘首与激情使得世界杯语汇深入人心,成为日常生活交流的重要工具。在世界杯的官方语言中,英语位列第一,也首当其冲地发挥着交流沟通的桥梁作用。2006年的德国世界杯上,英语被确认为赛场上裁判之间交流的官方语言,不管是场上的主裁判还是助理裁判,他们都需要在英语的书面和口头表达上没有任何问题,才能拿到世界杯的“上岗证”。

本文所研究的世界杯语汇是指那些随现代足球文化而发展的,具有鲜明时代特征和民族文化的英语词汇。Beard的调查研究指出:在不同程度上所有行业都有其专用词汇,行业的专业化程度与专业术语的数量呈正比<sup>[6]</sup>。因此,要全面理解现代足球运动,其语言建构是不容忽视的一个方面,笔者尝试通过分类比较世界杯英语语汇中的各类构词方法及其使用技巧,来解析现代足球文化的鲜明特色,借此阐释足球运动的巨大影响力。

### 3. 研究对象与方法

#### 3.1 研究对象

为了更为清晰地展现世界杯语汇的文化特色,笔者进行了语料库的搜集和整理工作,对相关数据进行了采集和描述。为了确保所有数据的信效度,本次研究所收录的世界杯英语语汇均来源于国际足联官方网站(<http://www.fifa.com/worldcup/>),ESPN 官方网站(<http://espn.go.com/>)的足球专栏,以及《中国日报》的体育专栏。ESPN(Entertainment and Sport Program Network)在全球体育节目中具有举足轻重的地位,而《中国日报》(China Daily)是中国学生学习英文的权威报刊,因此通过上述渠道采集的世界杯语汇应该非常具有代表性。笔者从中筛选出 309 个英语语汇作为研究对象,它们都是随着人类足球运动的发展应运而生的,能够比较全面地体现现代足球文化的特色。

#### 3.2 研究方法

在语言学研究中,构词是指新词的创造,常见的构词法有派生法、转化法、合成法、混合法、逆构法、截短词、缩词法、首字母缩略法、外来词、造词法等<sup>[7]</sup>。按照这些分类,逐一整理所采集的世界杯英语语汇,根据构词特点使每种语汇对应一种构词方法,分析过程包括三个方面:每个世界杯语汇是否有相对应的构词方法,每类构词方法是否有相对应的现代足球文化体现,每类构词方法是否有相对应的功能来实现构词目的。

### 4. 结果与分析

通过对 309 个世界杯语汇的分析讨论,笔者总结出世界杯英语语汇、构词法和现代足球文化三者之间的关系,如表 1 所示,其中构词法一栏的百分数表示本次语料库研究中该类构词法出现的频率,世界杯语汇一栏是列举的部分有代表性实例。

表 1 世界杯英语语汇、构词法和足球文化的关系

构词法	世界杯语汇	中文翻译	构词法功能	承载的足球文化
合成法 (55%)	Penalty area	禁区	合成法将两个单词组合起来,借此展现各种简单易懂的足球术语。	足球运动的大众性,便于理解。
	Corner ball	角球		
	Scissors movement	交叉移动		
派生法 (14%)	Midfield	中场	通过添加前、后缀的方法使词汇更加生动,同时具有形象功能。	足球文化的直观性,简单易懂。
	Semi-final	半决赛		
	Mishit	未射中		
转化法 (11%)	Clear	解围	转化法可以将词性转变而词形不变,因此具有贴切的描述功能。	足球语汇的传承性与创造性。
	Level	打成平局		
	Sky	射门过高		
旧词新意 (7%)	Diving	假摔	通过生动的关联,赋予旧词全新的意义。	足球术语的与时俱进。
	Upset	冷门		
首字母缩略法 (4%)	GP	场次	用最便捷的方法传达语汇的真实含义。	足球文化的简洁性。
	OT	加时赛		
造词法 (3%)	The 12th man	球迷	创造新的词汇以满足社会文化生活的需要。	足球运动的娱乐性。
	One-two	短传		
缩写词 (3%)	GER	德国	缩写较长单词便于记忆。	足球文化的高效性。
	Ref	裁判员		
截短法 (1%)	Hands	手球	将单词简化,词性和词义保持不变。	足球文化的简约性。
逆构法 (1%)	Libero	自由人	通过删去想象中的词缀,构造较短的新词。	足球运动的专业性。
外来词 (1%)	Selecao	桑巴军团	直接引入外来语汇,丰富自有语料库。	尊重民族文化,尊重足球风格。



## 4.1 世界杯语汇的构词法特征

本次研究发现, 309 个世界杯英语语汇都具有与之相对应的构词方法, 包括合成法(Compounding)、派生法(Derivation)、转化法(Conversion)、旧词新意(Old words putting on new meanings)、首字母缩略法(acronym)、造词法(Word-making)、缩写词(Shortening)、截短法(Clipping)、逆构法(Back-formation)、外来词(Loanwords)等。其中使用最为频繁的构词方法是合成法, 占研究对象总数的 55%, 接下来依次是派生法占 14%, 转化法占 11%, 旧词新意占 7%, 首字母缩略法占 4%, 造词法占 3%, 缩写词占 3%, 另有截短法、逆构法、外来词各占 1%。没有发现运用混合法(blending)的词汇。以上研究表明世界杯英语语汇的构词方法集中体现在合成法、派生法和转化法的运用, 这和新词构造时所发挥的功能有直接联系。

## 4.2 世界杯语汇的构词法功能

通过对世界杯英语语汇的整理和分析, 可以明显看出, 各式各样的构词法都存在着不同的功能表现和发展空间。

合成法是把两个单词连在一起合成一个新词的过程, 其最大的特点是词源丰富、意义直观。合成法使足球术语充满了空间概念, 往往赋予新词以崭新的语义功能, 却不会令大众有晦涩生僻之感。世界杯比赛的科学性极强, 各项规则更是精细严谨, 在有关战术、防守、进攻、守门、射门、拦截等专业语汇中, 用合成法构造的新词比比皆是, 角球(Corner ball)、交叉移动(Scissors movement)等各类术语在合成法规则的指引下显得活泼生动, 既表现了足球运动的专业性, 又展示了它的通俗性。

派生法是在词根前面添加前缀或在词根后面补充后缀, 从而构成一个新词的方法。派生法能够使创造出的词汇更加贴切, 更符合特定语境的内涵, 从而极大地发挥词汇的实用价值。在世界杯英语语汇中, 我们通常耳熟能详的, 诸如半决赛(Semi-final)、越位(Offside)等都是通过添加前、后缀的方式产生的。由于英语语言表示各种含义的前、后缀非常之多, 所以采用派生法创造新词既形象, 又简明, 非常符合足球文化的灵活度。

转化法体现了英语超强的构词能力, 它是把一种词性用作另一种词性而词形不变的构词方法。在现代英语中, 很多词汇都是由转化法演绎而来, 比如动、名词之间的互相转化, 甚至形容词、副词转化为动词等, 不胜枚举。通过调研世界杯语汇, 我们发现转化法被运用地生动有趣, 从侧面着实反映了足球运动对语汇的传承功能, 像解围(Clear)、打成平局(Level)等, 都集中表现了转化法所具有的开放性, 以及高度概括的描述力。

旧词新义是借词法运用的一种。一些原有词汇在适度的关联之下, 被赋予了时代特征, 所产生的新词也就充满了动感和生命力。世界杯与其他体育赛事不同, 是各个民族、各个国家足球风格的交流, 要满足不同层次的社会文化需求, 为足球运动的持续性发展创造有利条件。世界杯的竞技性强, 技术性高, 规则鲜明, 需要许多能够表达现代足球运动独有特征的新词, 因此旧词新义的构词方法被运用得淋漓尽致, 让人过目难忘。比如假摔(Diving), 当某个球员为了令对方球员得到黄牌、甚至是红牌, 或是为了博取任意球和点球的机会而假装受伤摔倒在地时, 这个动作宛若跳水, 故沿用了 diving 一词, 极具代表性和幽默感。此外, 首字母缩略法、造词法和缩写词的使用也均有一定比例。其中首字母缩略法和缩写词的功能不言而喻: 简约。在世界杯赛事进行的过程中, 无论是播报员、评论员, 还是球迷、普通观众, 都能够从简洁的词汇获取明了的信息, 比如在赛况报道和积分榜单上, 经常会看到 GP, W, D, L, GS, GA, GD, P 等缩写词, 其实意义简单易懂, GP(Games Played 场次), W(Wins 胜), D(Draws 平), L(Loses 负), GS(Goals Scored 进球), GA(Goals Against 失球), GD(Goals Difference 净胜球), P(Points 积分), 如此的表达形式彰显了足球运动的高效性, 使词汇更加便于认知和记忆。另外, 造词法的使用在世界杯语汇中也颇具新意, 添加了娱乐的成分, 例如第十二名球员(the 12th man), 足球队上场比赛的队员共有 11 名, 用第十二名球员表示对球迷的昵称再生动不过了, 世界杯语汇由此超出了纯竞技范围, 达到了娱乐受众的极佳效果。

### 4.3 世界杯语汇承载的足球文化

通过上述语料库分析,我们可以清晰地看到:每个世界杯语汇都有其相对应的构词方法,每类构词方法也都有其相对应的特殊功能,每种功能亦承载着独有的现代足球文化特色。也就是说,英语构词法及构词法功能将世界杯语汇与现代足球文化之间紧密关联,使足球运动在人类社会文明史当中不断发展并创新前行。

首先,世界杯语汇展现出来的是大众性文化特征。足球运动集人类各项运动特点于一身,对球员的身材要求也不严苛,非常大众化和平民化。难怪有人如此评价:足球最纯粹,与快乐有关。在 11 名球员的团队里,进攻与防守、战术与时机、智慧与创意、才华与奇迹,都不断与足球同行,与大众的精神文化同在。无论是点球大战(Penalty shoot-out)、盯防(Man-mark)、帽子戏法(Hat trick)等通过合成法构建而来的词汇,还是中场(Midfield)、无效进球(Disallowed goal)、未射中(Mishit)等通过派生法产生的词汇,都是对足球运动专业术语的精准诠释,同时又将足球运动最为直观地传递给大众,这些语汇简单易懂、便于记忆,为足球文化的大众性发展起着毋庸置疑的推动作用。

其次,创造性文化特征在世界杯英语构词中也具有显著地位。足球文化的创造性体现在多样性、艺术性和不可预知性几个方面。从比赛开始到最后哨声结束,没有人会知道赛场上将发生什么,哪怕是之前出神入化的技术布局,或是行云流水的进攻技巧,都有可能随着对手、场地、状态和环境等因素产生意想不到的结果,这也正是足球文化的精髓所在。世界杯语汇用最直接的方式告诉我们足球运动每时每刻的创造力。转化法创造的射门过高(Sky),旧词新意创造的补射(Tip-in),造词法创造的绝杀>Last-gasp goal),逆构法创造的自由人(Libero)等等,都通过丰富的语言建构抒写着现代足球文化的创造力。

第三,关于简约性文化特征,足球运动本身简单、易参与,其语汇也同样展现着简约性的文化表现力。场次(GP)、失球(GA)等首字母缩略词使受众在提取赛事报道信息时一目了然;西班牙(ESP)、葡萄牙(POR)等缩写词言简意赅地体现了参赛国,而且非常便于认知和识别;再如手球(hands)这个截短词,从 handball 一步步简写而来,除去冗长的部分,用直观干练的词语表述更为贴切直观的信息。所有这些都告诉我们一个显著的事实——现代足球文化愈来愈精细、高效和简约。

最后,我们深深感受到的是民族性文化特征,足球运动所蕴含的精神与文化是世界各族人民对待生活与生活的态度总汇,它是社会历史的沉淀,也是民族哲学的展现,它决定了风格迥异的足球艺术魅力,也不断地固化在人类的精神文化传统之中。譬如无坚不摧的德国日尔曼战车,全攻全守的荷兰橙色军团,稳扎稳打的意大利式布局,机敏灵巧的巴西桑巴舞……足球运动无不彰显着旗帜鲜明的地域文化特色。在世界杯语汇中,呜呜祖拉(Vuvuzela)、桑巴足球(Samba football)等外来词时刻与现代足球共同成长,从而体现出足球运动包容与和谐的民族性文化特征。

### 5. 结束语

每个世界杯语汇都由一定的构词方法产生,主要体现为合成法,其次是派生法和转化法;使用不同构词法创造世界杯语汇所发挥的功能是不同的,这些不同的功能恰好与独具特色的足球文化相呼应,这表明了构词法与其所创造语汇所反映的文化之间存在必然联系;世界杯语汇无一不承载着现代足球文化的鲜明特色:大众性、创造性、简约性和民族性。从中我们可以清晰地看出现代足球文化的语言建构表征,从而更加深刻地理解人类足球运动的社会和历史价值。

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## On-and-off-the-stage Attitude in Characters Research of Shakespearean Studies in Contemporary Western World--*All's Well That Ends Well* as an Example

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**Keywords:** Shakespeare; Characters; On-and-off-the-stage attitude; *All's Well That Ends Well*.

**Abstract.** Based on Shakespearean studies in the contemporary western world, it has been reflected a kind of relationship between the portrait of characters on the stage and the extension of understanding off the stage no matter in literary appreciation or in drama criticism. A lot of scholars made the hypothesis that characters in Shakespearean plays are existed above the real life; thus they attached great importance to the internal drive of characters' behaviors, which is viewed as a typical format of academic criticism nowadays. Over the past decades, *All's Well That Ends Well* written by Shakespeare is a hot issue repetitively discussed by western scholars. The paper expounds the results concerning on-and-off-the-stage attitude in this play of westerners, which on one hand, helps us to follow what is happening in the play from the perspective of both the reader and the audience; on the other hand, promotes our understanding in the cultural element during the process of fact hypothesis and imagination reasoning in Shakespearean works.

## 西方当代莎士比亚作品人物研究的剧里剧外观 ——以《终成眷属》为例

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**关键词:** 莎士比亚; 人物研究; 剧里剧外观; 《终成眷属》

**中文摘要.** 在西方当代莎士比亚作品研究中, 无论是文学鉴赏, 还是戏剧评论, 都体现出对人物的剧里勾画和剧外演绎二者关系的讨论, 众多学者将剧本人物假想于客观生活, 从而多方面考虑驱动他们行为发生的内在动机, 这被认为是一种地道的学术批评范式。近几十年来, 莎士比亚的悲喜剧《终成眷属》一直是西方研究者反复讨论的话题, 建立在这种后现代主义研究倾向剧里剧外观的基础之上, 一方面可以从读者和观众的视角去追随戏剧人物的故事发

生主线,另一方面更能够在事实假设和虚拟推理的过程中细细品读莎士比亚作品的文化精髓。

## 1. 引言

莎士比亚作品中的人物各具特色,众多西方当代文学家和剧作家越来越倾向于探讨作品人物的剧里勾画和剧外演绎二者之间的关系。实际上,当我们仔细研读莎士比亚作品的时候,能够深深地感受到每一个精心打造的叙事空间,由剧外的诸多可能事件牵引着剧里故事的发生主线,读者不断猜测和推理剧外人物的同步行为,这种好奇心也因此而自始至终的存在。有一些情节并不会出现在莎士比亚的笔下,但是这种蓄意的缺失对于理解他刻意勾勒的场景却必不可少<sup>[1]</sup>。近几十年来,西方的莎学研究一直具有人物批评的范式,学者之间的争议也此起彼伏,本文将以莎士比亚的作品《终成眷属》(*All's Well That Ends Well*)为例,对西方当代莎学人物研究的剧里剧外观作以简要介绍。

## 2. 人物的剧里阅读和剧外衍生

《终成眷属》是莎翁的三大“问题戏剧”之一,其余两部分别是《一报还一报》(*Measure for Measure*)以及《特洛伊罗斯和克瑞西达》(*Troilus and Cressida*),这个分法最初由评论家 Boas (1910)提出,主要是指莎士比亚创作于十六世纪末十七世纪初的作品,之后被绝大部分研究者所接受。该作品的创作手法较为成熟,剧里对主要人物的描写非常细腻,个性鲜明,也是数十年来西方莎学研究者所津津乐道的主题<sup>[2]</sup>。由于故事巧妙的构思,剧里人物映射在读者大脑中时立体而复杂,而当走出剧本呈现在读者想象中时,却会衍生出一番不同的景象。尽管这部作品最初被归类为喜剧,但是当代的戏剧评论家更倾向于将其划分成悲喜剧。

Tiffany(2012)对这部戏剧的奇幻色彩加以评述,认为莎士比亚的剧本构思已经超越了传统意义所赋予的奇迹教条,一方面天主教徒笃信圣灵创造奇迹,另一方面,哲学观的质疑和新教徒的玷污却与之同在<sup>[3]</sup>。在一个变革的时代,莎士比亚对于戏剧的张力寄希望于舞台艺术的奇幻把控,力图通过情节的精心设计来营造故事奇迹发生的舞台空间,并把自我意识高度融合,这已经完全超越了戏剧本身的文化表达。

### 2.1 海丽娜的角色多面性

海丽娜(Helena)在莎士比亚的笔下是一个能力超凡的女性形象,她对信念的坚定执着,对未来的运筹帷幄,都是极具艺术表现力的。她善于伪装,拥有多重角色:虔诚的清教徒、悲痛的女儿、博学的医生,当所有这些特征集于一身时,故事的发展也就顺理成章了。海丽娜无所畏惧,用尽了身边可以获取的所有资源,帮助她孕育并实现了宏伟的计划<sup>[4]</sup>。Schwarz (2007)认为,面对宿命的困境,海丽娜以一种女性独有的方式表达出她自己的抉择:一方面在社会逻辑上履行着双重角色——忠贞不渝的妻子和安分守己的个体,与此同时,她没有屈服于无知和高压,精心设计着步步棋局,她的所作所为既是女人的自我拯救,又是对男权的激昂宣战<sup>[5]</sup>。

不难发现,在莎士比亚的众多作品中,对于女性人物的细腻刻画,尤其是女人对于男人的情感主动,对于男人的渴望幻想,海丽娜并非是唯一的角色,但是有别于其他女人最重要特征就是她的大胆无畏,心思缜密而一意孤行。作为医生,海丽娜当然知道行医之德,但她自身就是一个需要治愈的对象<sup>[6]</sup>,只不过因为勃特拉姆在她眼中是那样充满诱惑力。虽然这个男人对她不屑一顾,但是所有的一切都在海丽娜的掌控之中,她在争取自己的感情,改变既定的事实,她让勃特拉姆付出了应有的代价,这是一场报复,也是一场赌注。

### 2.2 勃特拉姆的人物冲击力

勃特拉姆(Bertram)受国王的指令娶海丽娜为妻,但他拒绝圆房,抛弃新婚妻子去前线参战,临行时只留下一封短信作为辞别,同时他提出苛刻要求:除非海丽娜有本事拿到他手上

从未摘下过的家族戒指，并怀有他亲生骨肉的时候，再称呼他做“丈夫”，否则就是永远的诀别。勃特拉姆的冷酷却没能抵挡住海丽娜扭转自己命运的决心，她通过自己的聪明才智将两件貌似完全不可能的事情变成了现实：当勃特拉姆与另外一位他心仪的女子狄安娜(Diana)约会时，海丽娜争取了狄安娜的支持，在约会的卧室乔装打扮，成功享受了他的爱抚，怀上了他的孩子，同时也拿到了那枚戒指，一箭双雕！莎士比亚赋予故事的结局看似是美好的：当一切真相大白时，勃特拉姆回心转意，爱情婚姻以喜剧收场，就如同剧本的标题一样——《终成眷属》！

在文艺复兴时期，迫于压力的婚姻比比皆是，Ross (2011)指出，对于这类婚姻关系，律师们试图将其规范化，道德家们予以强烈谴责，而剧作家则以戏剧创作的方式去表现它，读者应当从权力和同情的角度去理解勃特拉姆最终对婚姻的屈服和妥协<sup>[7]</sup>。事实上，故事如此戏剧化的情节饱受争议，对于海丽娜为达目的不择手段的行为，很多学者表示斥责，甚至愤怒，认为这样的爱情和婚姻毫无乐趣和意义可言。Mansfield (1927)就曾经毫不客气地指出：海丽娜是一个可怕至极的女人，她的伪装，她的偏执，她的欺骗，没有事情再比这些更加令人厌恶了<sup>[8]</sup>。Bristol (2012)却持有更加谨慎的观点，他认为海丽娜的行为是一种救赎，不但对自己，而且包括勃特拉姆，这才是一种更深层次上的坦诚<sup>[9]</sup>。

### 3. “床第把戏”引发的剧里剧外之争

阅读和研究莎士比亚的这部作品，毫无疑问，关键点是对“床第把戏”的理解。海丽娜怎么能够轻易成功？即便有狄安娜的理解和帮助，难道勃特拉姆傻到无法辨识两个完全不同的女人，这样的剧情描写看似毫不现实，甚至荒谬可笑，但莎士比亚作品的巨大魅力正是在于他所呈现给读者、观众的假设空间和虚拟推理。

其实，在《圣经》里也存在类似的情节，Laban 许诺 Jacob 把自己的小女儿 Rachel 嫁给他，条件是为他服务七年，实则是想他娶大女儿 Leah 为妻，在约期结束而成婚的当晚，Leah 顶替 Rachel 享受了新婚之夜，故事中并没有过多的文字解释这一切如何顺理成章的发生，只是在成婚第二天，Jacob 猛然发现躺在他怀中的竟然是 Leah。黑暗、无言是相似的场景，结局也是相似的戏剧化，都以成功的“床第把戏”告终。当我们在研读圣经，品味莎学的时候，更多的是是否可以置身剧外，体会叙事的矛盾空间和人物的情感纠结，或许这样，我们才能轻松地收获故事本身存在的价值。对于《终成眷属》这部作品的理解，应当是这个故事本身所包含的内容，而不是我们轻率地去认为到底在卧室上演了怎样一幕剧情<sup>[10]</sup>。

#### 3.1 叙事的矛盾空间

这部作品中对于“婚姻”的从无到有，“婚姻”的约束和义务，实则就是两个男人对于一个女人的交易，是“礼物”，也是“馈赠”。海丽娜的精湛医术将法国国王纳入了她的赌注，她自告奋勇前去医治国王的顽疾，对于可能的失败，她宁愿以死谢罪，但对于成功，她则有恩泽奢求，即挑选王室的一位贵族成为她的丈夫。当勃特拉姆成为这场交易的结果时，无论是他的高贵身份，还是男子尊严，都令他严词拒绝。当着所有人的面，勃特拉姆被国王指婚，这是对男人莫大的污辱，让他颜面尽失！海丽娜对勃特拉姆情有独钟，与此相反，勃特拉姆对海丽娜深恶痛绝，巨大的矛盾空间已经将故事推向了一个高潮。

诚然，作品中的海丽娜是通过蒙蔽的手段获取了名义上是他丈夫的爱抚，但事实上，这是她解决困境的唯一出路。莎士比亚笔下的故事往往打破俗套，超越传统叙事，在卧室发生的表面上看似荒谬的事件却有着千丝万缕的必然发生关系。海丽娜的成功不是偶发事件，她的种种动机早已加剧了叙事背景的复杂程度，并且当狄安娜妥协于勃特拉姆的追求时，其实故事的内在逻辑已经形成：狄安娜让勃特拉姆午夜进入她的闺房，以避免她母亲的察觉，要求他停留莫超过一个小时，又不能与她言语交流。在勃特拉姆如约进入狄安娜的闺房时，他如何能想到海丽娜的存在？此时此刻的勃特拉姆已经被无比美妙的幻想和即将到来的激情冲

昏了头脑，他对于狄安娜的渴望和对于海丽娜的憎恶貌似矛盾，但却为叙事的发展做了顺理成章的铺垫，海丽娜的完美表演于是将故事进行到底。对于勃特拉姆情欲的重大打击，是源于夜色？还是寂静？在无声的夜晚，在黑暗的卧室，海丽娜享受了与勃特拉姆的床第之欢，却未经他本人的允许<sup>[11]</sup>，这样的讽刺极具冲击力。有人阅读到此处，会对故事发生的情节嗤之以鼻，“我才不会那样做呢！”如此的言语表述并不是因为断然否认这种事情的荒诞虚幻，而是因为内心深处已经假设了如果成功的可能<sup>[12]</sup>，这是非常有意思的产生于作者和读者之间的对话接触。

### 3.2 关系的情感纠结

海丽娜义无反顾的把爱情给予了勃特拉姆，勃特拉姆却同样义无反顾地回绝了她。如此的情感背离和茫然未来却在海丽娜的单方努力下被扭转，这是莎士比亚的刻意剧情安排，又是人物性格发展的主线和高潮。Nussbaum(2000)认为，美德是对能力的一种理解，由我们自己去选择如何表达，以及怎样付诸实践<sup>[13]</sup>。在莎士比亚构造的“床第把戏”这一幕，实际上包含了一个复杂的道德问题：海丽娜作为女人，是应该接受命运的安排？还是追随本我的内心，去做她想做的一切？作为旁观者，我们感到震撼，那是因为当我们把自己假想成戏剧中的人物时，我们已经被复杂的情感所吞噬，以至于当发生超越理性的一幕时，我们是难以接受的。我们想象海丽娜在卧室中的表演，是多么得不可思议，去扮演另一个丈夫中意的女人的一举一动，演绎得滴水不漏，这是一种能力，更是一种艺术，那么在这样的舞台和戏剧表现中，又需要什么样的美德去被大众所接受呢<sup>[14]</sup>。美德当然是对自我的一番认识，海丽娜的情感纠结，她为逃脱束缚、赢取未来的自救手段，已经在逻辑上验证了她的行为。

当海丽娜对勃特拉姆的母亲，也就是伯爵夫人，进行慷慨陈词的时候，她用“筛子”一词来表达自己的坚定决心和用情之深。Snyder (1994)对这一段进行了较为精准的诠释：海丽娜用筛子(sieve)来形容自己对勃特拉姆的爱，这句中的 *captious* 意为 *capacious*，*intenable* 意为 *untenable*，意思是自己有能力付出潮水般的爱情，却没能力将其挽留长久<sup>[15]</sup>。

### 4. 结语

在这部“问题戏剧”中，读者感受到的是和伦理、社会、家庭有关的一系列人性显露，剧中人物的对白被精心设计，虽有夸张的创作手法，但却处处彰显着缜密的写作思路。故事的高潮逆转乾坤，是源于女主人公的超凡智力，更是在于她精神能量的最终爆发；故事的结局皆大欢喜，却耐人寻味<sup>[16]</sup>。

在西方，以人物为主体的莎学研究一直占据主流态势，无论是文学家还是戏剧评论家，虽有不同的切入点，但都在分析思考剧里剧外的人物关系和情节表现，这也为莎士比亚作品的受众不断带来新颖的观点和争议的话题。对于剧本前的读者和舞台下的观众而言，他们欣赏一部作品的视角是不同的，正是由于众多学者的积极努力，这种对话之间的鸿沟才逐步缩小，希望中国的莎学研究可以有所借鉴，有所突破。

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## A Re-reading of Nakajima-atushi's *Fox Demonic Possession* from the Perspective of New Historicism

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**Keywords:** Nakajima-atushi; *Fox Demonic Possession*; New Historicism; Text analysis.

**Abstract.** Neuris Syaku is the hero of Japanese modern writer Nakajima-atushi's *Fox Demonic Possession*, who lives in the Greek colony Olbia. Based on deep textual analysis, this paper reveals that many factors such as his colonized identity, his loss of self-consciousness and his creative difficulties result in the exclusion of him and his "story" from the "textualized history". His death indicates Nakajima-atushi's recognition of him, which echoes the creation motive in *Records of Mountain and Moon*, thus forming an organic structure in *The Old Stories* series.

## 中岛敦《狐凭》的新历史主义解读

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**关键词:** 中岛敦; 《狐凭》; 新历史主义; 文本分析

**中文摘要.** 本文以日本近代作家中岛敦的短篇小说《狐凭》为研究对象, 通过文本分析的方法对文本进行深入解读发现, 《狐凭》的主人公夏克是生活在希腊殖民地奥尔比亚的涅乌里司人, 他的被殖民者身份、自我意识的缺失以及创作困境等诸多因素导致他和他的“故事”无法被载入“文本化”的“历史”。对夏克之死分析表明, 作者中岛敦对夏克怀有赞誉, 这与《山月记》的创作动机形成呼应, 从而使《古谭》系列内部具有了有机结构。

### 1. 引言

在日本近代作家中岛敦(1909-1942)《古谭》系列的四篇小说中, 《狐凭》的知名度远不及《山月记》, 中日两国学界关于《狐凭》的研究论文也相对较少。但笔者认为作为《古谭》系列的开篇之作, 《狐凭》的位置不可小觑。本文从新历史主义的视角出发, 通过文本细读和文史结合的研究方法, 将文本中的一些符码重置于创作期的历史语境, 并将其在历史语境中进行解码, 以发掘文本的深层含义, 阐释《狐凭》与《古谭》其他各篇之间的关联, 全面把握中岛敦《古谭》系列短篇的创作动机。

## 2. 三个“希腊人”

《狐凭》文本中先后两次提到了希腊人，一次是在开篇介绍涅乌里司部落时提到：“在后来希腊人称之为斯基泰人（亦被译为斯基提亚人）的野蛮人种中，这一种族格外奇特。”<sup>[1]</sup>另一次是在结尾提到盲人诗人荷马，此处需要注意的是荷马一直以来被公认为是生于公元前9世纪前后的古希腊诗人。文本中前后两次出现希腊人，形成了首尾照应。另外，在文本之外还暗藏着一个希腊人——众所周知，中岛敦在写作《狐凭》时参照了希罗多德的《历史》（亦称《希波战争史》），而希罗多德本人正是希腊人。目前为止，中日两国学者尚未对这些存在于文本内外的“希腊人”做出讨论，而笔者认为这三个希腊人恰恰对《狐凭》的文本构成具有重要意义。以下，笔者将从涅乌里司、斯基泰与希腊的关系入手展开探讨。

首先，现有的研究成果表明：被古希腊人称为“斯基泰人”的族群生活在东至顿河、西至多瑙河、南达黑海的斯基提亚地区。“斯基泰”来源于印欧语，意指箭术娴熟的人。最早提及到斯基泰人的古希腊作家是荷马，他在《伊利亚特》中将斯基泰人称作“饮马奶者”。“斯基泰人在古希腊人心中是个典型的游牧民族。他们居无恒所，逐牲畜随水草迁移，这种行为对喜欢城市生活的古希腊人来说是难以想象的”，“在生活方式上与古希腊人截然不同的斯基泰人成了希腊人眼中的‘另类’和‘他者’”。<sup>[2]</sup>尽管《历史》的作者希罗多德本人并不认为黑海北岸所有人群都是斯基泰人。但大多数情况下古希腊人却将包括涅乌里司人在内的游牧民族统称为“斯基泰人”，正如有学者指出的那样：“古希腊人常用来概括北方游牧民族的‘斯基泰人’是古希腊人以自我为中心对他者形成的粗略概观，虽涵括人群众多，但没有考虑当地人群的自我认同”。<sup>[3]</sup>应该说，这是殖民者用来描述殖民地“他者”时经常出现的情况。回到《狐凭》的创作期，在中岛敦创作此文本的1940年，日本已经占据台湾长达45年之久，期间台湾至少存在包括泰雅族、阿美族、布农族、排湾族在内的7个不同族群，而日本统治者对台湾少数民族统称为“蕃”，1935年又后统一改称为“高砂族”，这同样暴露了日本殖民者以自我为中心的意识形态。

事实上，公元前7世纪后期开始，希腊人曾在黑海沿岸进行殖民活动，他们在“斯基泰人”居住的黑海北部沿岸建立了殖民地奥尔比亚，成为当时黑海重要的贸易港口。不可否认，尽管希腊人和被他们称为“蛮族人”的其他族群之间发生了长期的相互影响、相互融合，但我们今天所能读到的“历史”，无论是《荷马史诗》还是希罗多德的《历史》，都是殖民者一方留下的“历史”，而非被殖民者一方涅乌里司人留下的“历史”。恐怕今天《狐凭》的读者已经很难发觉希腊人与涅乌里司人、荷马与夏克之间的深层关系，但笔者认为隐藏在文本内部的这层“关系”正是《狐凭》中“讲故事的人”夏克没有留下任何作品，不被后人知晓的重要原因，即作为涅乌里司人的夏克是一个被殖民者，他的话语势必面临着被“文本化”了的“历史”淘汰而无法保留下来的命运。笔者认为，这正是“历史”在权力关系与叙述法则中被涂抹、被修饰的一个写照。

## 3. 缺乏自我意识的“表现者”——夏克

根据《狐凭》的文本，夏克是涅乌里司部落的一个普通部落民。由于涅乌里司部落受到北方另一支游牧部落的攻击，夏克的弟弟被入侵者残忍地杀害。后来有人听到夏克开始说胡话，并一致认为那是夏克被弟弟灵魂附体而发出的语言，真正的说话者是夏克的弟弟。然而，当夏克恢复平静了一阵子，重新又开始说“胡话”时，人们吃惊地发现夏克所讲的话题材广泛，并非某个灵魂附体所能说出的语言，而是夏克自己“想”出来的。有日本学者认为《狐凭》的主人公与其说是故事讲述者夏克，倒毋宁说是听故事的“人们”。因为“狐凭”的说法源于“人们”的评论，仔细阅读《狐凭》的文本，不难发现描述夏克的句子多以传闻形式结句，也就是说夏克的形象是通过“人们”的话语表现出来的，这不是真正的夏克，而是“人们”眼中的夏克。夏克变成“说故事的人”的过程是通过“人们”的判断和结论，从“人们”

的视角来说明的，而“人们”的视角贯穿了整篇小说，“人们”赋予了夏克“讲述者”的地位。因此，这是一部描写讲述者夏克之死的小小说，同时也是描述听众诞生的小说。<sup>[4]</sup>

另一方面，夏克对自己的“创作”没有自觉认识，他开始编故事是缘于弟弟之死，但这让他体会到凭借想象而附身于他者的乐趣。但夏克不知道他创造出的语言可以通过文字流传后世，也不知道自己承担的角色在后世被称作什么。小说最后将夏克定位为与荷马一样的“诗人”，也有一些学者将夏克定义为“表现者”或“艺术家”，与《山月记》中的李徵、《光与风与梦》中的斯蒂文森、《李陵》中的司马迁属同一系谱。<sup>[5]</sup>而夏克本人却认为他只是被某个灵魂附体，也就是说，在今天看来相当于“文学者”的夏克并没有意识到自身在部落中的身份、价值和所处的状况，他没有自我主张的意志，他的自我确立完全由部落长老和听众来赋予。

根据《狐凭》小说文本，在夏克的“创作”最旺盛的时候，他的身边聚集了很多年轻人，致使部落的长老们看到年轻人因听夏克的故事而怠工，十分不悦。继而一位长老认定夏克是“不吉之兆”，由此夏克在部落中被认为是“无用之人”、“有害之人”，而这些都是由长老的价值标准所做的裁断和定性。事实上，正如日本学者指出的，夏克通过讲故事将很多年轻人吸引到身边的行为，是一种有可能扰乱共同体秩序的行为，在长老看来是一种新的权力，它很可能起到煽动共同体群众，动摇共同体稳定性的效果。<sup>[6]</sup>简言之，夏克的存在已经对长老的权威构成了威胁，因此必然会被设计铲除。

至此，我们可以给夏克下定义：他是一个普通部落民；一个“讲故事的人”；一个缺乏自我认识的人；一个长老的权威构成威胁的人；同时，我们还应看到，对于一个物资十分匮乏的原始部落，夏克这样的“诗人”并不是必要的、不可或缺的存在，人们听他的故事取乐，但并未从中受到某种教化或启蒙。夏克的故事被消费后并未在听众的心灵和精神上留下任何可以增殖的东西，因此在他遭设计陷害而被处死时，也没有人出来为他辩护。在他死后，他的名字和故事也未被“历史”传诵。

而与此相对，诗人荷马死后却成为古希腊民族精神的象征，成为古希腊人的荣耀。文本结尾特意将荷马与夏克做对比说：“谁也不知道在被称为荷马的盲人——麦欧尼之子吟咏出那些美丽组诗的很久以前，曾有过这样一位被吃掉的诗人。”众所周知，早在18世纪意大利哲学家维柯就通过研究指出，荷马并非一个人，而是“盲目的吟游诗人”的群体，“他的盲目，他的贫穷，都是一般说书人或唱诗人的特征。他们都盲目，所以都叫做荷马。他们有特别持久的记忆力。由于贫穷，他们要流浪在希腊全境各城市里歌唱荷马的诗篇来糊口。他们就是这些诗篇的作者，因为他们就是这些人民中用诗编制历史故事的那一部分人”，<sup>[7]</sup>“在希罗多德以前，希腊各族人民的历史都是由他们的诗人们写的。”<sup>[7]</sup>可见，荷马即诗人的代名词，他们参与民族“历史”的编写，是一种职业，因此也必然有明确的自我认识。笔者认为，这些是导致夏克与荷马结局不同的根本原因。

#### 4. “表现者”的困境与夏克之死

关于夏克之死，日本学者越智良二指出：中岛敦总是将“表现者”和“生活者”对立起来，并将“表现者”置于不幸的境地，可以说作为文学者的中岛敦具有某种“自我处罚”的意识。联系到中岛敦的家世，越智认为，中岛是汉学世家，明治以后汉学在社会上越来越失去了存在的价值，中岛的父亲勉强获得朝鲜中学老师的职位，及至中岛敦这一代，虽然是一高东大毕业的优秀人才，但只能通过父亲的介绍勉强在私立女学校任教。这样的生存状况使文学者中岛敦对艺术家存在的理由，以及艺术存在的价值提出疑问。他笔下的夏克、斯蒂文森、司马迁都是悲剧结局，但他们都在“表现”的过程中获得了自我肯定和自我救赎，这在一定程度上体现了中岛敦作为一个文学者的内心觉悟。<sup>[5]</sup>另有学者认为：讲故事的夏克并不知道长老的个人经历，也不知道“人们”在听到故事后发笑的原因，恰恰是听众把夏克的故事与现实相联系，赋予了故事嘲弄讽刺的意义。而那些最初作为听众的“人们”后来成为权

力的参与者，他们赋予了长老话语权，最终成为掌握夏克性命的存在。“相对于长老有意识地使用语言排斥夏克，夏克对于自己讲述的故事的意义、以及自己讲述故事的行为的意义毫无自觉”，<sup>[4]</sup>因此夏克无法与长老对抗，最终被陷害至死。

上述看法都强调了自我认识缺乏是导致夏克之死的原因。笔者认为夏克的创作困境也是导致夏克之死的重要原因之一。根据《狐凭》的文本，长老被夏克的故事激怒后，想方设法让人们意识到夏克作为部落民的失职，其衡量的标准是夏克不劳作，结果引起了人们对夏克的不满。冬天过后，夏克变得目光呆滞，不再会讲故事了。此处文本留有一处明显的空白，即没有交代夏克不再会讲故事的原因。我们可以想象，夏克被听众告知，他所讲的故事与长老的个人经历相同，其后部落开始对他的不劳作产生不满。这个事态对夏克的创作产生影响，创作什么样的故事成为一个难题。也就是说，夏克在创作上出现困境，他发言的状况变得不自由，要囿于权力者的意愿，导致他最终放弃创作。需知，作为一个“表现者”，无表现、无创作即意味着其存在的无意义，意味着其生命的结束。

《狐凭》创作于1940年，正值日本进入战时体制的时期，夏克的创作困境与其时日本文坛的创作环境有很大程度的相似性。日本学者荒正人在《艺术抵抗派》一文中提到，1937年日本进入战时体制后至1945年终战前，永井荷风一直保持沉默，他在战中写下的文字直至战后才得以发表；幸田路伴除发表《幻谈》等为数不多的作品外，一直埋头于《芭蕉七部集》的评译；谷崎润一郎的《细雪》被迫中断后也未再发表任何作品。<sup>[8]</sup>可见，在社会内部环境使文学创作变得艰难的条件下，文学者减少或放弃创作是非常自然的现象。

## 5. 结束语

在《狐凭》的结尾，夏克不仅被处死，而且死后遭到了族人的烹食。“对食物不太充足的当地居民来说，除病死之人，其他所有新鲜的尸体都被供以食用。”事实上，关于食人的习俗，希罗多德在《历史》的第一卷中提到：“玛撒该塔伊人穿着和斯奇提亚人相同的衣服，又有着同样的生活方式……原来希腊人认为是斯奇提亚人做的事情，实际上不是斯奇提亚人，而是玛撒该塔伊人做的；……如果有纪非常大的人的话，则他的族人便全部集合到他这里来把他杀死，并且墩他的肉用来大张饮宴。在这之外，家畜当然也是要和他一同被屠杀的。他们认为这乃是死者的最高的幸福；如果一个人病死，因此没有被人吃掉并给埋到土里，也就是没有一直活到被杀的时候，他们认为这是不幸的事情。”<sup>[9]</sup>也就是说，夏克所在的涅乌里司部落没有食人的习俗。但他们和玛撒该塔伊人都被希腊人当做斯奇提亚人，中岛敦熟知希罗多德的《历史》，他借用玛撒该塔伊人食人的习俗，安排夏克被部落人烹食这样一个结局，看似悲惨消极，而事实上这对于死者夏克有可能意味着“最高的幸福”。

笔者认为这一结局暗含着中岛敦对于一个“表现者”，一个无法参与并建设共同体主流言论的“诗人”的同情与赞誉。同时，作者中岛敦虽然也想立足于文坛，但他对日本战时体制下古文坛主流地位的“国策文学”抱有疑虑。因此，在《古谭》系列的开篇，中岛敦通过创作夏克这样一位“诗人”形象，对自我宿命进行一种了描述，从而与《山月记》中李微的结局形成呼应，使《古谭》系列成为一个各独立短篇之间存在内部联系的有机整体。

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## Traditional Regression of Post-Victorian Women's Consciousness: Restudy on "Double" Narrative Strategy in *Mrs. Dalloway*

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**Keywords:** Post-Victorian era; *Mrs. Dalloway*; Women's consciousness; Traditional regression; "Double" narrative strategy.

**Abstract.** Based on the concept of "proportion" and "conversion", the narrative analysis through shift of perspectives, displacement of gender and discourse of characters reveals the more complicated patriarchal power operation system behind female independent consciousness in the post-Victorian period and male literature tradition implicit in Woolf's female aesthetic creation.

### 后维多利亚时期女性意识的传统回归： 《达罗卫夫人》“双生体”叙事策略的再探索

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**关键词:** 后维多利亚时期；《达罗卫夫人》；女性意识；传统回归；“双生体”叙事策略

**中文摘要.** 本文聚焦小说《达罗卫夫人》中国会议员夫人克拉丽莎和疯人赛普蒂默斯平行并置的“双生体”叙述模式，试以对赛普蒂默斯实行精神压迫致其死亡的威廉爵士所倡导的“平稳”与“感化”观念为切入点，通过视角转换、性别置换和人物话语的叙事策略分析，揭示出后维多利亚时期女性独立意识背后更为复杂的父权制权力运作体系和伍尔夫女性美学创作所隐含的男性文学传统。

#### 1. 引言

《达罗卫夫人》是伍尔夫最具意识流特色的小说，用物理时间的一天表现了人物心理时间的大半生，人物关于过去、现在和将来的意识流动被不同场景和报时钟声分裂切割，呼应了英国后维多利亚社会支离破碎的现代性体验。然而，在这纷繁复杂的时空之网中却包含了将两个主要人物即国会议员夫人克拉丽莎·达罗卫和弹震症患者赛普蒂默斯平行并置的叙述模式。根据伍尔夫的最初计划，小说并无赛普蒂默斯这一人物，最后自尽的是克拉丽莎，后来增加了这个年轻的疯子是为了让他体现“狂人的真谛”，而克拉丽莎则成为“正常的真理”的化身<sup>[1]</sup>。伍尔夫在1928年该书的介绍中明确将赛普蒂默斯定位为克拉丽莎的“双生体”<sup>[2]</sup>。

多数评论都将生死命题与现代人的异化感相联系,认为克拉丽莎经由其“双生体”赛普蒂默斯的死亡洗礼,跳出正常人的思维定式认识到理性霸权对弱势个体的统治压迫,重新审视了生命的意义。

然而对生命意义的重新审视在小说中不过呈现为女主人公的出神凝思,这在女性主义批评家肖瓦尔特看来则是克拉丽莎设法逃避将自己的焦虑投射到别人身上的虚构的生存策略,赛普蒂默斯扮演着她失败人生替罪羊的角色<sup>[3]</sup>。在“双生体”叙事模式的深层结构中,我们发现对赛普蒂默斯实行精神压迫的威廉爵士所倡导的“平稳”与“感化”观念通过理查德和彼得这两个人物作用在克拉丽莎身上,克拉丽莎表面上追求独立自主并深切同情赛普蒂默斯的遭遇,实质上却顺服主流文化试图逃脱被压迫的命运,这种以虚掩实的女性意识正是伍尔夫需要引入“双生体”叙事模式的关键所在。本文拟从“平稳”与“感化”观念入手,通过视角转换、性别置换和人物话语的叙事策略分析以揭示后维多利亚时期女性意识与父权制传统之间的内在关联。

## 2. 视角转换与理性统治

文本对“平稳”观念的阐释采用了两种视角:全知视角与人物有限视角。被赛普蒂默斯称为“残酷无情”的“人性”<sup>[5]</sup>由全知叙述者进行了更为具体的描述:“平稳,神圣的平稳,乃是威廉爵士的女神。……由于他崇拜平稳,威廉爵士不仅自己功成名就,也使英国日益昌盛;正是像他之类的人在英国隔离疯子,禁止生育,惩罚绝望情绪,使不稳健的人不能传播他们的观点,直到他们也接受他的平稳感——如果病人是男子,就得接受他的观念,如果是女子,就接受布雷德肖夫人的观念(这个贤妻良母绣花,编织,每星期有四天在家陪伴儿子)”<sup>[6]</sup>。“平稳”观念作用的对象不仅局限于疯子,也包括女子,伍尔夫在精神病院的真实经历使她成为“疯妻”这一维多利亚时期定义叛逆女性的原型缩影,并在创作中分化在赛普蒂默斯和克拉丽莎这两个人物身上。

在这部经典的意识流小说中,女主人公克拉丽莎所经历的现实事件非常有限,归纳起来就是上街买花—缝补裙子—招待客人,这与布雷德肖爵士夫人的生活状态十分相似,通过其密友彼得和萨利的视角呈现为丈夫达罗卫对其所造成的危害:彼得将克拉丽莎的势利性格归因为“达罗卫先生的观点,诸如热心公益、大英帝国、关税改革、统治阶级的精神,等等”<sup>[7]</sup>;而在萨利看来,达罗卫是个“不折不扣的绅士,……只能使她成为一个主妇,滋长她的世俗感”<sup>[8]</sup>。文本通过视角转换使“平稳”的作用范围突破规范饮食作息制度的医患关系进入标志种族、阶级、性别等级制度的政治领域。“平稳”作为一个政治理念可以追溯到18世纪英国中产阶级的形成,随着18世纪后期英国资本主义生产方式的迅速发展,新兴的中产阶级处于社会中层,与社会上下两端都有矛盾和利益重合点,具有不可避免的政治两面性:一方面由于受到贵族特权限制,具有争取经济、政治权力渴望成为社会主导的革命性,另一方面害怕成为社会下层的革命目标而表现出渴望秩序的保守性。工业革命后中产阶级急剧壮大,政治地位不断提高,逐渐成为英国社会发展的主力军,维多利亚时期中产阶级对工人阶级可能越界的焦虑使其革命性丧失殆尽而保守性愈加鲜明。露丝·伊泽尔在分析盖斯凯尔的工业小说《玛丽·巴顿》时就以中产阶级的恐惧心为切入点,以工人出身的玛丽坚守自己对工人吉姆的爱而放弃嫁入中产阶级家庭的梦想为例,认为求爱情节中传统忠贞女性的存在赋予动荡不安的社会某种“稳定感”<sup>[9]</sup>,女性内化的等级观念成为中产阶级缓解阶级矛盾的工具,父权制社会的运作从单纯的性别层面拓展到了阶级层面。在小说《达罗卫夫人》中伍尔夫同样采用女性意识来体现英国父权制社会所代表的中产阶级严守等级制度的“平稳”观念。小说置身的背景是后维多利亚时期民族解放运动、妇女解放运动蓬勃发展和第一次世界大战结束满目疮痍的英国社会,获得选举权的女性要求参与社会活动的愿望日益强烈,克拉丽莎在家举办晚宴似乎象征着公私领域的融合,但其在外交活动中表现出来的对皇室的崇拜、对穷人的恩赐、对异族的不屑、对独身女性的歧视均秉承了以其夫为代表的后维多利亚父权制社会

与带有阶级、种族、性别烙印的英国性的完美结合，通过成为英国政治等级制度的代言人进入权力关系实现凌驾于他者之上的优越感而逃避自身受性别压迫的命运。

### 3. 性别置换与情感压迫

在与以“平稳”为名对赛普蒂默斯进行理性统治并行的是以“感化”为名对其进行的情感压迫，在小说中“感化”被称为“平稳”的“姊妹”：“她尽情地蹂躏弱者的意志，热衷于引人注目，发号施令，强加于人，……她粗暴地惩罚异己分子或心怀不满的人；……这位女神也存在于威廉爵士心中，尽管她披着似乎合情合理的伪装，潜伏在冠冕堂皇的名称之下：爱情、职责、自我牺牲，等等”<sup>[10]</sup>。“感化”以不同于“平稳”的带有贬损女性感性特征的表现方式从属于“平稳”，其使赛普蒂默斯惶恐的威慑力来源于威廉爵士反复强调的为维护社会稳定而针对异己分子的理性道德标签。

而以“爱情、职责”为关键词的感化女神在克拉丽莎看来就是女性化的男性人物彼得。对于昔日恋人彼得的情感占有欲克拉丽莎年轻时就坚决抵制并与其分手而选择了达罗卫，彼得将她贬低为“地地道道的主妇”<sup>[11]</sup>，要求事无巨细的汇报并企图完全占据她的内心世界，这种情感主导的交流方式在阔别多年的相见中激起了克拉丽莎内心的愤怒，将其贬斥为“令人屈辱的激情”<sup>[12]</sup>。彼得借用“爱情”之名试图征服克拉丽莎并未像威廉爵士将赛普蒂默斯逼入绝境那样奏效与他自身受情感困扰这一女性化的性格特征有关，这使他无法在英国主流社会立足而远赴印度工作，性别错位与殖民地背景构成了被他者化的一致性，并成为以布鲁顿夫人、休、和达洛维为代表的上层人物的笑柄：“彼得怎样热烈地陷入情网，遭到拒绝，流亡印度，变成种植工，潦倒不堪”<sup>[13]</sup>。克拉丽莎对彼得的反击也集中体现于对其恋人印度女子黛西的蔑视和对其性格弱点的否定中：“她大刀阔斧地喇喇喇三下，便勾勒出那个女人的轮廓，那印度陆军少校的老婆的轮廓。多糟糕！多愚蠢！彼得一生都这样被人愚弄，最初是被牛津开除，接着又在去印度的船上，同一个陌生女子结婚，如今又爱上了一个少校的婆娘——上帝保佑，当初幸亏不嫁给他！”<sup>[14]</sup>克拉丽莎的心理活动体现了伍尔夫利用殖民地他者形象的对照建构帝国文化并使白人女性获取自我优越感的创作意图。伍尔夫父系和母系的祖辈皆与殖民地有着千丝万缕的联系，丈夫伦纳德在锡兰殖民局工作长达六年之久并著有《帝国与非洲贸易》等相关作品，所以伍尔夫“无疑属于维多利亚时代的帝国特权阶级”<sup>[15]</sup>，试图“通过文化象征层面上的炫耀和显示”<sup>[16]</sup>实现其建构英国性在他者性和权力与特权之间的叙事协商。在以帝国想象作为她艺术探索内容的同时，伍尔夫从女性视角出发，“挪用男权话语，通过表征阶级和种族他者建构具有排他性的英国身份”<sup>[17]</sup>，预示着西方女性主义由强调性别对立到主张多元身份的发展趋势：“一个女人或许会因性别受到压迫，但也会因为种族、阶级、宗教、性经验或民族出身而享有特权”<sup>[18]</sup>。小说中彼得与印度女子纠缠不清的关系在其正统的英国身份上蒙上了一层殖民地的阴影，并与其性别错位的性格缺陷产生了互为因果的关系，单凭直觉的爱情使他背离了“平稳”观念中的种族、性别等级制度，他的阶级地位随之下降，他的情感攻势如同强弩之末被克拉丽莎彻底击碎。不难看出，“感化”若无“平稳”为后盾就如同无源之水毫无生命力，而文本性别置换所得出的结论修复了其表面两性界限的松动，巩固了代表后维多利亚时期英国中产阶级“平稳”观念的性别、阶级、种族等级制度。“对欧洲文化优越性的信念是塑造像伍尔夫这样的西方女性主义者女性主义意识的关键因素”<sup>[19]</sup>，这也决定了伍尔夫不可能将反抗坚持到底，而是在倡导一种战略性的撤退，这场性别之战因为女性早已臣服而失去意义，不过是后维多利亚父权制社会内部规则的拓展与较量。



#### 4. 内隐叙述者的传统回归

通过对视角转换和性别置换的叙事策略分析,我们看到了残害赛普蒂默斯的威廉爵士与对克拉丽莎进行理性统治和情感压迫的达罗卫和彼得的相似性以及后者在表现性别政治主题上所产生的 consistency 效果,这种 consistency 还微观地体现在人物话语的不稳定性中。

达罗卫在伦敦大街漫步的遐想与其稳重、干练的理性特征并不相符,充满了对克拉丽莎的情感渴望:“理查德的心灵从麻木不仁中清醒过来,此刻他的心思倾注于自己的妻子,克拉丽莎身上,……彼得·沃尔什曾经神魂颠倒地爱她;……他要把鲜花献给她,同时滔滔不绝地爽快地说:‘我爱你。’为什么不表白呢?!”<sup>[20]</sup>达罗卫显然在模仿情敌彼得试图用更为公开的方式对克拉丽莎实行情感占有,其温文尔雅外表下的男性欲望显露无疑。彼得在与克拉丽莎久别重逢后孤独漫游时对人生进行了理性的思考:“除了思维,我们身外别无他物;那是一种愿望,渴求安慰与解脱,也渴求某种力量,能超越芸芸众生,……假如他能设想这种力量,赋予它女性的形态,那么,从某种程度上讲,她就存在于世上”<sup>[21]</sup>。这种将思维视为力量的理性统治不过因为其外在的女性形态而显得怪异,但与达罗卫所代表的男权文化并无本质差异,是真正象征其男性身份的武器。如果说平时的克拉丽莎还具有一定的独立人格的话,那么晚宴则使她成为一个虚空的主体:“这一切都是别人的感觉;……但是,他们却需要她,非找她不可。她是宴会的主人嘛!”<sup>[22]</sup>与以天使与魔鬼为鲜明对比的维多利亚时期的女性形象不同,这种意欲成为主导而迎合父权制社会需要的母性是一种流动消融的女性意识,以掏空自我而无所不在的姿态成为后维多利亚父权中心制度的拥护者。

正如格雷厄姆所言“伍尔夫根本不在乎区别说话人各自的话语风格”<sup>[23]</sup>,缺乏个性的人物话语使得内隐叙述者无法按常规投靠小说人物,而人物话语所体现的父权制权力运作主题的内在一致性则将内隐叙述者逐渐公显化。叙述者通过人物话语游离于不同人物之间,不同人物观点的碰撞和人物观点自身的矛盾所形成的文本张力相互抵消最终指向在作品整体里起支配作用的意识和作品所体现的思想标准的根源即隐含作者,最终坚守了后维多利亚父权制社会对性别、阶级、种族划分等级的政治立场,揭示了作者对父权制传统的创造性继承。伍尔夫试图通过人物话语的多样性对男性独裁意识进行消解,然而人物话语内在的统一性建构出一种人物与人物、人物与叙述者、叙述者与隐含作者异口同声的叙事效果,伍尔夫“在女性的自我毁灭和男性的自我实现之间求得平衡”<sup>[24]</sup>的努力虽体现在小说人物分享叙事权威的女性意识,却最终归顺于“全知全能”的叙述方式所表征的传统男性叙事主体,这种创作的焦虑与小说中克拉丽莎表面自主实则依附的矛盾自我如出一辙。

#### 5. 结束语

小说《达罗卫夫人》将逼迫赛普蒂默斯自杀的“平稳”与“感化”观念作用在了女主人公克拉丽莎身上,并通过视角转换和性别置换的方式加以表现。克拉丽莎对达罗卫理性统治的自觉服从和对彼得情感压迫的成功反击揭示出后维多利亚父权制社会涵盖性别、阶级、种族界定的规则拓展以及中产阶级白人女性对男权文化的隐秘认同。文本深层叙事结构所体现的性别政治主题在人物话语的无个性化风格中得到进一步的延伸,使得伍尔夫出于女性视角所采用的内隐叙述者回归传统,正如兰瑟所言,伍尔夫“‘并没有破坏19世纪的整个传统’。……她没有拒绝作者的必要职责,只是为之做了新的包装,所以说她的创作是与奥斯丁和艾略特一脉相承的”<sup>[25]</sup>。这种女性意识背后错综复杂的父权制权力运作体系和女性美学创作所隐含的男性文学传统恰恰证明了后维多利亚时期英国父权制政治统治与文学传统紧密结合、步调一致的继承与发展。

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## The Cognitive Reconstruction and Creativity of “Tuhao”

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**Keywords:** Tuhao; Cognitive prototype; Neology; Cognitive motivation.

**Abstract.** The study intends to illustrate the semantic development of “tuhao” based on the cognitive prototype theory, trying to find out the influence of social culture on the catchword “tuhao”. Then the shifts of the word classes and the creation of the construction of “tuhao” reflect the transformation of people’s self and social cognitive attitude. Our findings are as the followings: 1) The consumerism value in Chinese society makes “tuhao” go viral on the net. Actually, the network catchword “tuhao2” is the neology of the historical “tuhao1”; 2) The lexical evolution of “tuhao2” shows that it slowly drifts away from noun to adjective and verb and has many construction variations, which reflects the characteristics of the newly-emerged wealthy group’s consumption value and Chinese language speakers’ complex attitude towards the wealthy group.

## “土豪”的认知语义重构与创新

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**关键词:** 土豪; 认知原型; 旧词新意; 认知动因

**中文摘要.** 本文首先结合认知原型回顾了“土豪”的语义重构历程，找寻“土豪”风行背后的社会文化元素。然后结合“土豪”的词类演变和相关构式创新，分析人群自我认知和社会认知的转变。本文得出以下结论：1) 现在网络风行的“土豪2”是对历史上“土豪1”的语义重构，即“旧词新意”，其流行与现代社会倡导的消费文化密不可分；2) “土豪2”虽是名词，但是在语用中不断向形容词和动词功能游离，这充分体现了社会新财富阶层的消费特征和社会身份定位的需求，以及汉语说话族群对新富群体持有的复杂心态。

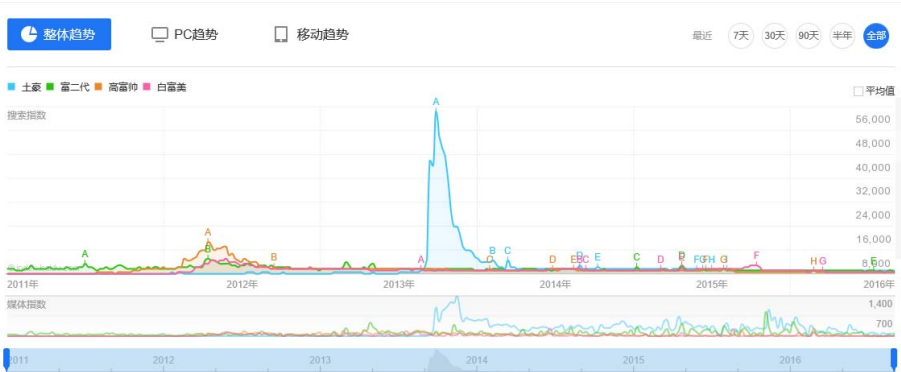
# 1. 引言

“土豪”一词古已有之，而今再次风行全国。这一独特的文化现象甚至引起牛津英语词典编辑部的关注和跟踪，这其中值得深思和探究的缘由。图1是“土豪”在2011年至2016年的百度指数截屏。观察可见，“土豪”的检索峰值出现在2013年9月土豪金手机发布前后，至2014年2月骤降进入平台期。然而图1中另一数据，“土豪”的媒体关注指数在2013年至2016年间一直维持着较高水平，在新闻热点标题中也时常出现，可谓是衰而未亡。图2通过百度指数截屏对比了“土豪”、“富二代”，“高富帅”，“白富美”这四个网络造词运动的产物。它们均可指代社会上某类具有代表性的新晋富人群体。较“土豪”而言，“富二代”、“高富帅”，“白富美”虽出现时间更早，但无论是在民众使用量上，还是在媒体关注度上，“土豪”一词的百度检索指数均是最高。如今“土豪”虽然已过了风头最劲的时候，但是其社会影响力和认可度依然不可小视。从现有文献研究的结论来看，一部分作者关注“土豪”一词流行的语言内部因素，解析“土豪”的意义建构过程，分析“土豪”的词义游走轨迹和色彩义变化，及其词性句法的变化等；另一些作者从语言外部原因出发，剖析“土豪”流行语背后的社会阶层分割和社会价值观转变等现象。潘文国曾将“语言”定义为“人类认知世界及进行表述的方式和过程”<sup>[1]</sup>。一个新词语的流行也必然是内外因共同作用的结果。因此本文试图从语言内部的重构和创新现象出发，探讨语言外部社会认知模态的变迁，最终希望诠释“土豪”一词社会文化价值观变动的新趋势。



(来源：<http://zhishu.baidu.com/?tpl=trend&word=%CD%C1%BA%C0>)

图1 “土豪” 2011 年至 2016年的百度指数截屏



(来源：

<http://zhishu.baidu.com/?tpl=trend&type=0&area=0&time=13&word=%CD%C1%BA%C0%2C%B8%BB%B6%FE%B4%FA%2C%B8%DF%B8%BB%CB%A7%2C%B0%D7%B8%BB%C3%C0>)

图2 “土豪”、“富二代”、“高富帅”、“白富美” 2011至2016年百度指数对比截屏

## 2. “土豪”的语义重构

原型是解释人类思维范畴化过程的一个重要概念。束定芳等学者将“原型”定义为“范畴中的典型实例”，即“一个拥有相似性特征元素的集合中最具代表性，最典型的成员”<sup>[2]</sup>。下面我们将参考社会历史背景，分别探讨古今“土豪”的认知原型，挖掘“土豪”众多特征中最典型的特征。看看语言是如何在社会大背景中产生，又是如何折射社会现象的。下文以“土豪1”代指历史上的“土豪”，以“土豪2”代指现在风行的“土豪”，就其词义演变分别展开论述。

### 2.1 “土豪1”

“土豪”称谓大约出现在魏晋南北朝时期。《魏书》中记载：“令晋寿土豪王僧承、王文粲等还至西关，共兴大义”<sup>[3]</sup>。魏晋以降至唐末五代是“土豪”群体壮大之时期。他们中有的割据一方，有的啸聚山林，深有聚众之能。加之长期经营，积攒了较强的经济、武装和区域影响力。形成了诸如不忠、尚武、逐利等鲜明的品格特征。长期据地经营解释了土豪中“土”的含义，即立足于庄园式乡村，拥有殷实的经济基础。而聚众尚武则定义了土豪中“豪”字的特性，即在特定区域内有着极高声望和社会号召力。语义色彩偏中性。清代郝懿行在其《晋宋书故》中对土豪做出了界定：“土豪，盖豪贵之族，为乡邦之所望者，方足当之”<sup>[4]</sup>。而熊德基在《六朝史考实》中进一步挖掘了“土豪”的身份特征：“他们在当地有财有势，但政治上却没有地位，往往被世族高门轻视”<sup>[5]</sup>。其实土豪这一群体的壮大与隋朝中叶以来实行的郡县制有很大关系。土豪们大多难以入朝为官，仕途艰难。只有退而守之，充当起连接政府和乡民之间的中间角色，成为乡村社会的主导型力量。据Pustejovsky的特征结构(Qualia Structure)理论<sup>[6]</sup>，可以把中国古代“土豪1”的原型特征大致概括如下：

“土豪1”：[+乡邦望族] + [+田产殷实] + [+尚武] + [+逐利]

随着时代发展，受清朝末年废科举，城市化和西学的影响，传统土豪乡绅中优秀的新式知识分子纷纷离开农村，在城市重新学习谋生存。而中国的乡村越来越固步自封，原来应该继承绅士地位的名门豪族后裔纷纷离去，成为不了达官贵人的乡绅就退化成了土豪劣绅，大量没有道义责任的土地兼并和反对变革，成为了清末民初的乡村常态。作为社会文化的折射镜，“土豪1”一词在词义和语义色彩上均发生了偏移。此时，“土豪”中“豪”字带有浓重的“豪强”、“强取豪夺”之贬义。清代郝懿行在《晋宋书故·土豪》一文中总结到：“然则古之土豪，乡贵之隆号；今之土豪，里庶之丑称”<sup>[4]</sup>。可见随着时代发展“土豪1”一词已不仅仅指代家产殷实、乡邦所望的地方豪族，而是特指仗势欺人，行径丑恶的地方豪强。如下面的例子：

(1)我当时记忆犹新，其时满清政府已腐败至极，道德沦丧的土豪劣绅与衙门的贪官污吏搜刮民财，鱼肉乡民。

概括起来，从中国清代末年到土地改革时期的“土豪1”原型如下：

“土豪1”：[+土匪恶霸] + [+剥削阶级] + [+有私人武装] + [+残害百姓]

“土豪1”原有的基本义项[+乡邦望族]之义慢慢弱化，而[+尚武]，[+逐利]等带有中性的属性义逐步加强并趋向贬义，强化了[+强取豪夺]，[+剥削百姓]等内涵。可见，一个词语会随着历史发展变化而发生词义流转。土豪这一称谓也在社会大环境下被不断重塑，赋予新义。

### 2.2 “土豪2”

新中国成立后地主阶级被消灭，“土豪”逐渐退出历史舞台。如今这个略带暗讽的指称因恰与当今社会某类新富群体的特征匹配，被网民们赋予新义，引发了大众共鸣，从而迅速获得关注。那么现在流行的“土豪2”和历史上的“土豪1”在词义上有何不同？旧“土豪1”中的“土”意思是土地，乡土，表明“土豪1”生活在乡村，善于经营土地。今“土豪2”中的“土”却表达了土气，不合潮流之义，暗含“土豪2”群体文化层次不高，品味俗气。旧“土

豪1”中的“豪”主要作强横的，有特殊势力之义，强调“土豪1”这一地方豪强的身份特征，今“土豪2”中的“豪”字意思是气魄大，直爽痛快，没有拘束，表现了“土豪2”豪爽阔气，花钱大手大脚的个性。可见虽然古今“土豪”都指某种富人，但是其内涵和指代人群却已完全不同。今日“土豪2”是对历史上“土豪1”意义的重新构建，属于造词运动中的旧词新义。

结合“土豪2”的流行轨迹，下面分析社会主流价值观是如何引导和改变人们对语言的认知的。首先“土豪2”的“土”为何被解释为品味俗气？“土豪2”流行的标志性事件是2013年9月苹果公司发布的新款“土豪金”配色手机。在中国“金”的一层含义是黄金或金钱，象征着财富和高高在上的社会地位。在随后各大新闻媒体中土豪中“金”这一属性被刻意加重放大，刻画了一群爱用赤裸裸的金钱彰显自身财富和身份的土豪群体形象，诸如“土豪888万定金亲”，“土豪年终奖”，“土豪婚宴”等。财大气粗但是缺少文化涵养正是人们在这些流行事件中对“土豪”逐渐形成的一致认知，这是“土豪”中“土”字含义的来源。其次，“土豪”的“豪”缘何用作豪爽？“土豪”区别于其他富人的一个典型特点就是不因担心身边人觊觎自己的财富而低调谨慎。他们花钱坦荡，乐于炫耀，不怕曝光，也不在乎财富溢出惠及周围人。正因为此，才会有“土豪微信发两千红包”，“土豪给全班同学送iPhone6”等事件。也正是因为土豪花钱豪爽，所以新浪微博上发起了“与土豪交朋友”，“为土豪写诗”等调侃吹捧土豪的活动。以上分析可以看出人们对“土豪”的认知是复杂的，一方面土豪们曝光的铺张奢靡生活让普通群众心里落差大，被剥夺感强烈，难免心怀妒忌；另一方面土豪们花钱大方，财富惠及他人，也更容易获得人们的宽容和接纳，心生攀附之感。根据“土豪2”的性格和消费特点，“土豪2”原型特征可概括如下：

“土豪2”：[+有钱人] + [+无脑消费] + [+品味俗气] + [+高调炫富] + [+豪爽大方]

“土豪2”从其开始流行至今已有三年，虽然热度不如从前，但土豪相关事件依然时常出现在新闻报道中。与大多数昙花一现的网络流行语相比，土豪通过炫耀物质来建构身份的行为引领了当今社会盛行的消费潮，这是土豪拥有持久流行力的根源。在我国经济持续发展的今天，以奢侈品消费为代表的炫耀性消费现象日益突出，消费能力象征着人们的财富、权利和地位，也是快速区分贫富阶层的标志。一些新晋富人文化涵养不高，精神层面空虚，他们更愿意通过直接暴露财富的方式来标榜成功，彰显身份，获得满足感与成就感。而与之对立的屌丝阶层无法在物质上与有钱人抗衡，生活如蝼蚁般无足轻重，他们只有在虚拟的网络中集结力量与富人阶级对抗，找寻心心相惜的存在感和认同感。在不暴露自己身份的前提下，通过愤怒地呐喊来倾诉财富缺失带来的不安全感，并且调整因心理失衡而产生的负面情绪。上述分析可见，语言的流行根植于社会需求。当然语言也会随着社会文化的变化而壮大繁荣或者销声匿迹。在拜金主义和消费主义火热的时代，土豪文化持续流行也就不足为奇了。

### 3. “土豪”的语义创新

语料库调查表明，“土豪1”主要用作名词，用作形容词的情况很少，无动词用法；“土豪2”充当名词情况最多，形容词出现频率较高，少数用作动词。

根据使用频率，我们可以把两类“土豪”的此类优势顺序概况如下：

“土豪1”：名词>形容词

“土豪2”：名词>形容词>动词

#### 3.1 语义创新之“名词”作“形容词”

“土豪1”的原型特征是[+地方豪族]，因此“土豪1”是典型的名词。一般说来，典型名词的空间性很强，不容易发生词类游移功能，故其在语料库中的名词性用例最多。“土豪1”作形容词是名词活用的结果，使用频率较低。“土豪1”偶尔充当形容词是因为“大部分形容词是从名词转化而来”<sup>[7]</sup>。根据汉语词类连续统，名词和形容词在连续统中的相邻距离最近。因此，“土豪1”用作形容词充分展现了词类功能游离，也反映了词类演变的普遍规律。

“土豪2”也是典型的名词，在语料库中名词性的用例最多。但是与“土豪1”相比，“土豪2”用作形容词词类的频率显然更高。根据上文的分析，“土豪2”在“土豪1”的原义上生发出新义，是社会大环境中造就的一类新富群体。这类新富群体本身有通过消费高档物品建构自我身份和体现自身价值的内在需求。他们的消费特征明显，且与广大平民阶层的生活形成鲜明反差。在媒体频频曝光和公众舆论下，土豪身上被贴上了各种标签，创造出了很多形容词构式“土豪+名词”。各类超出平民购买水平的消费品都被赋予了土豪特质，如“土豪手机”，“土豪花束”等，而各类豪爽大方的消费观和消费行为被定义为土豪行为，如“土豪婚宴”，“土豪装修”。以上这些带有土豪特质的产品均强调了土豪的某种形容词属性，而非名词属性。因此“土豪2”形容词属性凸显也表现出人们对同一词类范畴的不同理解方式，充分体现了社会新财富阶层的消费特征和社会身份定位的需求。

### 3.2 语义创新之“名词”作“动词”

名词用作动词是词类功能游移的另一重要证据。在汉语词类连续统里，名词、动词分别处于结构的两端，而形容词正好位于二者的中央。“土豪2”先由名词向形容词游离，再由形容词向动词功能偏移，强化了由人物名词的属性特征变化而引起的活动，即凸显具有[+花钱豪爽]、[+高调炫富]特征的行为，如(2)：

(2)为了明天的梅尔套装，我又土豪了一次。(动词)

“土豪2”用作动词通常有两种情况，一种是“今天我也土豪一回”；另一种是“XX再土豪也XX”。这反映了汉语说话群体对土豪所持有的两种心态。前一种土豪动词用法表达了处于社会中下层的弱势青年群体对富裕的土豪青年阶层选择性的接受和模仿。普通阶层的人群亦向往有钱人衣食无忧的生活，因此试图在行为方式上效仿土豪，做出与日常消费习惯相违背的行为，比如铺张浪费地花一次钱。通过痛快花钱并且炫耀的方式在社交圈里彰显个人存在感并且得到虚荣心的满足。因此产生了诸如“XX也土豪了一次”，“XX也土豪一把”等动词用法。后一种土豪作动词的用法中可以看出当前社会中弱势青年群体对青年阶层固化、阶层差距过大而产生的抱怨和怨愤的心态。为了发泄心中的不满，中低层群众抱怨式地吐槽，希望土豪们的生活不要一帆风顺，也遇到困难和挫折。为了追求心理平衡，他们才会以暗讽的口吻说出“再土豪也XX”之类的话语。这其中既含有弱势青年群体对自身生存状况和尴尬境遇的焦虑和担忧，也折射出他们生存的辛酸与不易，同时还包含着贫富落差而产生的强烈心理失落感和悲凉的前途无望感。语言的确是社会文化的折射镜，它不仅影响了我们思维的形成，更在潜移默化中塑造着我们的价值观。通过分析土豪的动词语义创新用法，我们可以感受汉语说话族群对新富群体持有的复杂心态。

## 4. 结束语

本文从认知语言学原型角度出发，深入探讨了不同历史时期中土豪所代表的阶层形象。从历时角度分析了“土豪”一词的词义词类流转。“土豪1”的原型特征是[大量田产]，[尚武]，[逐利]；土豪2的原型特征则是[无脑消费]，[豪爽大方]，[高调炫富]。其内涵与所指对象均不同。与此同时，“土豪2”在语用中不断由名词向形容词和动词功能游离，形容词属性类特征逐渐增强。当然，语言是社会的一面镜子，是社会文化的载体。语言的变化可以反映社会的变化。“土豪”重新流行的背后折射出当今社会阶层分割的现象和社会文化价值观变动的新趋势。

网络流行语的产生往往是某种社会集体情绪的产物，而它的不断传播又在一定程度上消减和宣泄了这种情绪。对于今天社会贫富差距加大，物质文明与精神文明脱节等社会现象，汉语说话群体不再一味抵触，而是选择用巧妙的心理构建方式来接受它。相比起守财奴和完全利己主义的消费观，土豪的消费行为能得到一定程度的社会肯定，这是一种心态的进步。

此外,网络流行语属于一种新潮俗文化。因其时髦性和“黑色幽默”色彩而易受年轻人追捧和传播。网络造词通常不满足于旧有语汇的表达。通过“断章取义”来截取、生发新义,将真正的词义隐藏在表面字义的背后。一般而言新词的产生有两种形式:一是在现有词语的基础上赋予新意,即“旧词新意”,二是根据新出现的概念创造一个全新的词,即“新词新意”。本文讨论的“土豪”属于“旧词新意”。由于“旧词新意”比“新词新形”更具经济性,对人脑的认知负担更小,研究“土豪”的语义认知发展历程可以使我们更加系统地把握“旧词新意”构词方式的强劲生命力。

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## Criticism of Some Hemingway's Primitivistic Criticism

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**Keywords:** Hemingway; Primitivism criticism; Criticism.

**Abstract.** There are some controversial points on Hemingway's Primitivistic Criticism at home and abroad. The paper deliberately discussed some of these controversial points chiefly focusing on the aspects of Hemingway's Indian Complex and his Medievalism. These two aspects are the main of Hemingway Primitivistic Criticism and the main controversial points needing to reevaluate as well. Meanwhile, the paper also offered a criticism of whether Wyndham Lewis is a Hemingway Primitivism Critic. Through putting forward different criticism of some of Hemingway Primitivistic Criticism, this paper aims at urging a reevaluation of Hemingway's Primitivistic Criticism and hence advancing Hemingway criticism further.

## 海明威原始主义批评的相关质疑

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**关键词:** 海明威; 原始主义批评; 质疑

**中文摘要.** 国内外的海明威原始主义批评存在较大分歧。本文着重从“印第安情结”、“中世纪主义”两个方面分析了海明威原始主义批评中存在的分歧, 提出相关质疑, 认为这两个方面是海明威原始主义批评中的两个主要方面, 也是容易产生分歧的重要因素。同时, 本文也对温德汉姆·路易斯对海明威的相关论述做出了深入剖析, 对其是否是海明威原始主义批评者提出了相关质疑。通过对这些批评提出质疑, 本文旨在促使学术界对海明威的原始主义批评做出重估, 进一步推动海明威批评向前发展。

### 1. 引言

海明威的原始主义问题由来已久, 但国内外分歧很大。杨仁敬在《海明威学术史研究》(以下简称《研究》)(2014)中, 列举了与海明威研究相关的十大问题, 其中一个“关于海明威与原始主义。”杨仁敬指出, “美国学术界曾热议海明威与原始主义的问题, 引起了各方

面的关注。我国学术界尚无人问津”，认为“有必要引起重视。”（杨仁敬，2014:295）笔者认为，杨教授提出了一个值得引起重视的海明威批评课题，但他对这一课题的判断与批评也存在商榷之处。首先，“我国学术界尚无人问津”这一表述不够严谨。我国最早的海明威原始主义批评是一篇由王占吉翻译的译介文章，刊发于《呼兰师专学报》1995年第4期。自2009年到2013年间，我国学术期刊已刊发少量海明威原始主义批评文章，这些成果发表时间均先于《研究》。其次，杨教授从对海明威的族群的分析以及他从这些分析中得出的结论也存在商榷之处。通过对国内外海明威原始主义批评做出简要梳理，本文着重从“印第安情结”、“中世纪主义”两个方面厘清了海明威原始主义批评中存在的分歧，提出相关质疑。同时，本文也对温德汉姆·路易斯是否是海明威原始主义批评者提出了相关质疑。

## 2. 海明威的“印第安情结”与原始主义批评

海明威的“印第安情结”主要指的是海明威与土著印第安人的特殊关系。海明威家族有收藏印第安人物品的嗜好，这成为海明威原始主义批评家的重要依据，也是容易产生分歧的地方。医生海明威曾收藏大量的印第安人坛子、弓箭等。“他爱好收集硬币和邮票，在童年时代就开始收集波多瓦米印第安人的箭头。”（Carlos Baker, 1969:2）但不幸的是，这些收藏品被妻子格莱斯烧掉。在“祖父逝世后我们搬离了那座房屋……”贝克写道，“房子里许多搬不走的东西便在后院烧掉了。我记得那些坛子从阁楼上被扔到火焰里。坛子的酒精发出火焰，受热就炸开了。我记得泡酒的蛇在后院火焰里燃烧的情景。”（ibid:7）这些被格莱斯烧掉的物品中，绝大多数是海明威医生多年用心收藏的印第安“战利品”，他常为此感到懊恼。而对于海明而言，“他是一个自然爱好者，喜欢小虫、石头、贝克、鸟类、动物、昆虫和花朵。”（Baker, 1969: 5）根据贝克、梅耶、林恩等人所著的海明威传记，海明威本人并没有收藏这些物品的癖好。

但是，这次焚烧对海明威留下了极为深刻的印象。成为作家后，海明威在作品中多次提及这一情景。在《我躺下》中，他描述了尼克母亲焚烧父亲收藏品的情景：“他（从火堆中）拔出了石斧，剥兽皮的石刀，做箭头的工具，还有陶器和不少箭头……最好的箭头全都粉碎了。”（海明威，陈良廷等，2004:415）尼克作为海明威塑造的第一个英雄人物，约翰·詹姆斯·巴吉指出，“对尼克来说，‘箭头事件’是痛苦的记忆。”（John James Bajger, 2003:44）吉利安·F·罗根也认为，“尼克描述的这些细节清楚地表明他知道它们的意义所在。换言之，这些不仅仅是印第安人的工艺品，也是象征着尼克依恋父亲和二人共有的安全探险经历的工艺品。”（Jillian F. Logan, 2001:35）在《丧钟为谁而鸣》中，海明威再次提到罗伯特·乔丹父亲收集的箭头：“你记得在你父亲的办公室有一个柜子，架子上布满了箭头……”（海明威，2012:562）可见，尽管海明威没有继承父亲收集箭头的嗜好，但“箭头事件”的确对他产生了深刻影响。因此，从海明威家族的“印第安情结”入手进行海明威原始主义批评具有合理性。

在一篇题为《很久前是好的，现在不好：海明威的印第安系列故事》（以下简称《系列故事》）的文章中，罗伯特·W·路易斯认为，“印第安人在海明威的人生与创作中经常扮演着小角色，有时候也发挥着很大作用。”（Jackson J. Benson, 1990: 200）路易斯指出，海明威对印第安人的兴趣源自于英美人对高尚的野蛮人以及其他原始人种的痴迷以及他父亲的“白种印第安人”情结。其他的影响还包括西奥多·罗斯福总统的非洲狩猎故事以及发生在橡园的一系列与非洲相关的事件等。

杰弗里·梅耶在其《海明威传》中指出，“在《春潮》中，海明威采用英国作家菲尔丁的嘲讽实践对安德森的感伤原始主义给予了致命的嘲讽。”（Jeffrey Meyers, 1985: 167）他也曾发表《海明威的原始主义与“印第安营地”》一文，以“印第安营地”为例探讨了海明威的原始主义倾向。梅耶指出，海明威表达了他一生对原始人的痴迷，这些人群包括印第安人、黑人、拳击手、斗牛士、非洲人与西班牙人，也包括刚毅、坚韧的英雄人物如哈里·摩根与圣地亚哥等。显然，梅耶列举的原始人较传统划分有所扩展，但他却将海明威作品中的犹太人与吉卜

赛人排除在外。梅耶也认为，海明威受到詹姆斯·弗雷泽爵士与弗洛伊德等人的影响，并以海明威私人图书室收藏的 57 本与印第安人和人类学相关的书籍对此做出了阐释。

与国外批评相似，杨仁敬重视从“印第安情结”剖析海明威的原始主义。在分析海明威作品中的印第安人、犹太人与黑人以及海明威的非洲故事的基础上，杨仁敬指出，“海明威写了尼克对印第安人的好感，流露出他对土著印第安人的善意和同情。他把印第安人当朋友看待。”（杨仁敬，2014：300）对于海明威作品中的黑人，杨仁敬认为，“反映了海明威对黑人文化的理解与接受；”“这充分体现了海明威超越种族界限，平等对待黑人原始部落的进步倾向。”（杨仁敬，2014：303；305）而关于《太阳照样升起》中的经典人物形象犹太人罗伯特·科恩，杨仁敬认为这“反映了海明威的原始主义倾向”。他同时否认这不是海明威塑造人物的局限，认为这不表明他具有反犹意识。他同时论及海明威的非洲故事，认为“海明威直接表露了他对非洲的热爱和对非洲土著的喜欢，回敬了有些人对非洲人‘没有好感’的态度”。（同上，313）

根据原始主义的基本内涵，杨仁敬对海明威的原始主义批评存在需要商榷之处。首先，海明威的“印第安情结”不等于他对印第安人持友好态度。海明威的“印第安情结”是复杂的、二元的，不能简单地概括为友好或敌对、美化与丑化、肯定与否定。海明威的创作轨迹与欧洲早期殖民文学具有高度相似性。虽然早期殖民者在叙事中表达了对原住民的同情，但他们真正的终极目的却是要征服他们。海明威的创作也是从描写原住民开始的。在早期作品《自然神的裁决》中，海明威描写了一名印第安人由于对白人的不信任，真相大白后他甘愿接受印第安之神的死亡惩罚，而真正“偷走”的钱夹的却是一只红松鼠。“红松鼠”显然是一个隐喻，隐喻的是印第安人不信任白人，最终害人害己。《医生夫妇》中的印第安人狄克·保顿也被描述成一个对白人并不友好的形象。而在其他作品中，海明威更是不厌其烦地描写印第安人的味道。这种味道在《十个印第安人》、《印第安人搬走了》、《怀俄明葡萄酒》以及《丧钟为谁而鸣》等大量作品中都有提及。从措辞看，海明威显然不喜欢这种味道。这亦可以从海明威的妹妹卡罗尔的话中得到证实：“我想每个人都错误地将他（海明威）的故事当成自传。因为我知道他所写的其中一个人物——小普罗登斯·保顿是一个最不起眼的小女孩。我认识她而且营地的气味极其难闻。欧内斯特不喜欢常去那里。但我想，作为回忆他会以这段经历来创作故事”。（Denis Brian，1988：184）但是，这些有味道的印第安人又是他常写不厌的话题，他对这些部落所代表的原始文化具有一种向往之情。

其次，应理性看待海明威的非洲故事。海明威在作品中对黑人始终采用一种贬损的称谓。即使在《非洲的青山》等故事中，海明威感兴趣的也仅仅是因为“我能在这里射猎和捕鱼，这一切，加上写作、阅读、看电影，就是我最想做的事。”（海明威，张建平，2004：243）显然，海明威的喜欢是建立在掠夺资源基础上的自我消遣与提升。而他说“我喜欢这些土人”，仅仅是因为土人们对他唯马首是瞻、俯首称臣。这与他早前的叙述“事实上我在这里像个国王。这是非常令人愉快的”（同上，29）是一致的。即使五十年重返非洲大地，海明威的目的仍然如旧——自我消遣与提升。“他爱非洲，”海明威重返非洲时的陪伴扎菲罗 1983 年告诉梅耶，“他喜欢坐下来观察。他具备何种动物会做什么以及它们将在何处出没的自然知识...”（Kenneth S. Lynn，1987：571）显然，海明威对非洲大地的喜爱首先是由于那里有大量供他自由狩猎的野生动物，而非洲土人对他而言是次要的。

再次，杨教授所说的罗伯特·科恩“反映了海明威的原始主义倾向”也是一个需要商榷的问题。按照杨教授的理解，如果罗伯特·科恩“反映了海明威的原始主义倾向”，那么这意味着海明威在刻画科恩这个人物或者他映射的人物原型时是一种友好而不是恶意的态度。但事实正好与此相反。罗伯特·科恩对应的人物原型是犹太人哈罗德·罗布。海明威对罗伯特·科恩的态度是恶意的，而对哈罗德·罗布也是恶毒的。“我要把那些杂种撕得粉碎，”他对罗布的妻子凯蒂说，“我要将每个人都写进这本书，那个犹太佬罗布是个恶棍。但你在书中是个好姑娘，我不会做任何惹你生气的事。”（Carlos Baker，1969：154）而海明威对现实中于他有恩有帮助的罗布，也是十分糟糕的：“你这讨厌的私生子，竟去搞女人。（ibid，150）事实上，海明威一生

具有反犹意识。青少年时代的绰号“海明斯坦”就是一个“表明他明显的反犹意识的犹太人名字”的变体。”(Charles Whiting, 1999:33) “20 年代对犹太人的偏见非常盛行, 这尤其显著几乎是一种无意识的反应,”著名的海明威研究专家迈克·雷纳德指出, “艾略特与庞德同样具有反犹意识。”(Linda Wagner-Martin, 2007:54) 海明威身边具有不少犹太人朋友, 但当与他们交恶时他首先攻击的就是他们的犹太性, 这清楚地表明他内心深处的歧视思想。根据所有权威的海明威传记以及海明威刻画犹太人的路径, 都表明他是一个反犹太主义者, 而不是意味着他在为处于反犹浪潮中的犹太人鸣不平, 并对他们表达同情。

### 3. 海明威的“中世纪主义”与原始主义批评

“中世纪主义”是海明威原始主义批评分歧中的一个重要方面。罗伯特·路易斯在《系列故事》一文中论述了海明威的“中世纪主义”问题。路易斯分析了《过河如林》《三天大风》等作品中人物的中世纪特征以及《永别了, 武器》书名的中世纪元素, 并援引 1981 年出版的两本关于海明威古巴图书室的索引书对此作出进一步证明。路易斯进而认为, “这一切表明, 即使海明威不是一个向往古人高尚精神的人, 他是在中世纪被许多严肃作家视为信念、价值观、审美特别是稳定的时代中写作的, 而二十世纪尤其是战后, 对海明威这一代而言是一个文化陷入危机的时代。”(Jackson J. Benson, 1990: 209) 在路易斯看来, 海明威的“中世纪主义”是一种历时原始主义。

杨仁敬教授却对海明威的“中世纪主义”持不同态度。他在《研究》中指出, 海明威的原始主义批评中存在两个误区, 其中一个就是海明威的“中世纪主义。”“海明威的‘中世纪主义’说明他尽管受到现代派艺术影响, 但是仍然很尊重传统文学和文化, 大胆从古典文学遗产中吸收有益的的东西, 与原始主义没有关系”。(杨仁敬, 2014: 305)

那么到底什么是“中世纪主义”呢?“中世纪主义”是指“一系列具有中世纪特征的信仰与实践, 或者热衷于在建筑、文学、音乐、艺术、哲学以及各种大众文化中体现那个时期的某种元素。十八世纪以来, 许多运动都将中世纪时期当作创作活动的典范或者灵感来源, 包括浪漫主义文学、哥特复兴、前拉斐尔派以及新中世纪主义等。”<sup>1</sup>不难看出, “中世纪”首先是一个“过去”的时间; 同时它也是一个包括文学艺术等众多元素在内的“信仰与实践”。根据原始主义的基本内涵, “中世纪主义”显然与之存在关联。根据乔伊与鲍亚士等人对原始主义类型的划分, “中世纪主义”也具有文化原始主义与历时原始主义的属性。对文学艺术家而言, 他们的“中世纪主义”中首先指的是中世纪的文化元素。换言之, “中世纪主义”是引经据典的一种体现。

海明威对中世纪文化体现出强烈的兴趣。置身于中世纪文化被许多严肃作家广泛推崇的时代, 海明威一方面热衷于或从中世纪文化中寻找书名, 或赋予人物中世纪的时代气息, 前者如《永别了, 武器》的书名, 后者如《过河如林》的主人公理查德·康特威尔。另一方面, 他也在四十年代开始广泛地阅读中世纪作品并写出体现“中世纪主义”兴趣的《过河如林》。海明威的“中世纪主义”不仅是体现的一种“从前”、“过去”的关注, 也体现的是他对这种文化的判断与肯定。本质上, 对“过去”的关注、对其文化的肯定与“原始主义”是一致的。或许, 这正是路易斯认为海明威的“中世纪主义”是原始主义的理据所在。

### 4. 温德汉姆·路易斯与海明威原始主义批评

温德汉姆·路易斯是海明威早期批评家之一, 也是一个在海明威原始主义批评中饱受争议的人物。在罗伯特 W. 路易斯与杰弗里·梅耶的论文中, 都分别提及他的有关论述。杨仁敬也认为, 温德汉姆在三十年代关注了海明威的原始主义: “温德汉姆·路易斯则批评海明威尽写些原始主义的东西, 具有反知识倾向。”(杨仁敬, 2012:28; 2014:12) 笔者认为, “温德汉姆

<sup>1</sup><https://en.wikipedia.org/wiki/Medievalism>.

•路易斯是否是一个对海明威持原始主义批评态度的批评家”是一个值得再审视的问题。

温德汉姆·路易斯是海明威的早期批评家之一。他于1929年在《白脸》中论及海明威的《春潮》。梅耶指出,“路易斯的《白脸》猛烈抨击了舍伍德·安德森在《黑色的笑声》(1925)中以及D. H. 劳伦斯在《墨西哥的早晨》中对印第安人原始主义与黑人原始主义的吹捧,赞扬了海明威在《春潮》中对安德森的讽刺性戏仿。海明威顺应了潮流。”(Jeffrey Meyers, 1985: 85)显然,路易斯批评的是安德森与劳伦斯等人的原始主义而不是海明威的。这一点在海明威对路易斯的作品的热情回应中得到进一步证实:“你喜欢《春潮》,我对此感到高兴。我认为你在《白脸》中极佳地破坏了对红种人与黑种人的激情。这很糟糕——比我们高尚的、属于另一种族的任何高贵之处(无论是什么)都值得抑制。你知道,劳伦斯在过去是安德森的神(在西方文学界,劳伦斯被视为原始主义的典型代表,笔者注),你可以在安德森中的所有作品中找到他的影响痕迹……事实上,《春潮》以小说的形式起着与《白脸》一样的净化作用。”(同上,86)显然,将《春潮》与《白脸》类比,表明海明威也在猛烈抨击安德森的原始主义,意在与他划清界限。

1934年,路易斯发表一篇题为“沉默的公牛:一项海明威研究”的文章。(Meyers, 1997: 186-207)路易斯在这篇长文中详细论述了海明威作品的政治意义与语言风格。路易斯在文章中称,海明威没有政治意识。“政治是在《在我们的时代》、《太阳照样升起》以及《永别了,武器》中最难找到的东西。的确,很难想象任何一个作家能比海明威更能将政治完全排斥在外。”路易斯指出,“海明威的兴趣在于充满死亡的运动,以及那些发生在运动中的爱情伤心事……”路易斯进一步指出,“海明威是‘卢梭式的高贵野蛮人’,只不过是一个白人版本,一个简单的美国人。”对于这篇公开指责的文章,贝克指出路易斯说出了“使海明威难堪的反知识主义或称反智主义(anti-intellectualism)”(Baker, 1969: 258)。在杰弗里·梅耶看来,路易斯则“刺中了海明威最脆弱之处。”(Jackson J. Benson, 1990: 303)但梅耶并未对何为海明威的“最脆弱之处”做出具体解释。因此,海明威这次非但没有对路易斯做出积极回应,反倒极为愤怒,“当场将西尔维亚办公桌上的一只郁金香花瓶打得粉碎。”(Baker, 1969: 258)

仔细比较就不难发现,路易斯的观点是自相矛盾的。他一方面声称海明威完全没有政治意识,另一方面又承认海明威的所有作品都以一战为依托,认为海明威虽然对战争感兴趣,但“从不关心引起战争的原因,或不关注谁是战争受益者,或对卷入其中的人类命运漠不关心。”(Meyers, 1997: 187)他一方面承认海明威对战争感兴趣,另一方面又指控他是一个“卢梭式的高贵野蛮人”。而卢梭的“高贵野蛮人”是指“漂泊于森林中的野蛮人,没有农工业、没有语言、没有住所、没有战争、彼此间也没有任何联系,他对于同类既无所需求,也无加害意图,甚至也许从来不能辨认他同类中的任何人。”(卢梭,李常山,1962: 106)显然,将一个极为痴迷战争、沉迷杀戮的海明威指控为“卢梭式的高贵野蛮人”是自相矛盾的。同时,对于一个对战争敏感的人,海明威也必定具有一定政治意识与政治判断力。

事实上,海明威的确具有极强的政治意识与政治判断力。与同时代的其他作家相比,拥有数次战争经历以及几乎贯穿一生的记者经历的海明威也不可能在政治上处于“无意识”状态。在《海明威与政治》一文中,肯尼斯·金娜曼(Kenneth Kinnamon)详细论述了海明威的政治意识。“除极少数例外外,海明威的传记作者低估了海明威对政治的兴趣与理解。”(Scott Donaldson, 1996: 149)金娜曼列举了卡洛斯·贝克、斯哥特·唐纳森、杰弗里·梅耶、肯尼斯·林恩以及迈克·雷纳德等人所著的海明威传记作品,对此作出了说明。正如金娜曼所言,作为较贝克晚很多年给海明威写传记的学者,林恩在1987年仍然认为,“海明威一生很少对政治感兴趣,”“海明威1936年在政治上是个天真的人。”(Kenneth S. Lynn, 1987: 494)而金娜曼所说的例外的“极少数”,笔者认为包括贝克与梅耶。作为最早给海明威立传的权威专家,贝克并未否认海明威的政治意识。在《海明威的生平故事》中,贝克举例说明海明威在热衷于钓鱼打猎活动之余,也对美国的总统选举颇为关注。贝克指出,“在政治责任与宗教责任上,海明威对后者更为认真。”(Carlos Baker, 1969: 231)这个比较只是个程度问题,显然表明贝克承

认海明威是关心政治的。八十年代的梅耶也指出，西班牙内战“增强了他的政治信念并导致他在《有钱人和没钱人》中做出社会承诺。”（Meyers, 1985: 267）

在对传记作家提出质疑的基础上，金娜曼认为，“海明威的人生从早年起，其新闻作品以及想象性创作都体现出连续不间断的政治意识。”（Scott Donaldson, 1996: 149）在综合分析海明威一生的经历后，金娜曼总结指出，“尽管信奉个人主义并对政客不信任，海明威在政治上总是持左倾立场。”（168）实际上，在给查尔斯 B. 斯特奥斯的一封信中，海明威清楚地表明了自己的政治立场：“一部真正的艺术品是永恒的，与政治无关”，“我乐于在作品中体现人类兄弟情谊，”但他同时指出，“一个能写出‘真实’作品的作家，他不必在政治上公开站队。正确与谬误在他的作品中一目了然。”（Baker, 1969: 277; 280）海明威的这些观点是富含哲理的辩证观。在他看来，评判作品优劣的尺度是“真实”而不是政治，但作者在写“真实”的作品时，必须具有政治觉悟并体现在作品中。这也可以看作是他对路易斯指责他“对人类命运漠不关心”的回击。金娜曼的结论与海明威本人的观点有一定出入，但认为海明威一生具有政治意识与政治立场，这与海明威本人的观点并不矛盾。

根据路易斯在这篇文章中论及的内容，他所说的海明威的反知识主义或称反智主义主要是指海明威对个人经验而不是知识的极度信奉。“海明威的艺术几乎纯粹是行为艺术，并且是非常暴力的行为，这也是其另一个品质特征。”路易斯写道，“海明威这些作品都源自于 1914 年至 1918 年的一战经历。”（Meyers, 1997: 188-191）需要指出的是，路易斯对海明威语言风格的分析也主要是与海明威记者经历相关的新闻风格。在路易斯看来，不仅海明威作品的内容源自经验，其风格也源自经验。就文化而论，理想化的美国人是一个知识源自于自身经验的自力更生的人，而不是一个知识源自书本、源自正规教育与学术研究的人。这是反知识主义或称反智主义在文化层面的核心要义。

从海明威的成长、成才经历来看，他可以视为这样一个反知识主义或称反智主义者：没有上过大学，主张从经验中学习并强调书写经验，尤其是战争经验。正如路易斯所说，海明威 1934 年以前的作品都以一战为依托。实际上，海明威一生的作品都与他的数次战争经历多少具有关联。他也成长于一个具有光荣传统的老兵家庭。他尤为看重在战争中获得的经验。在《非洲的青山》（1935）中，海明威指出，“对于一个作家来说，具有战争经历是一种多么有利的条件……一场革命同样是最好的经历。就像内战对于作家是最好的战争一样，正是最最完美的。”（海明威，张建平，2004:63）在《丧钟为谁而鸣》中，乔丹的祖父被刻画成一个经历南北战争与印第安战争的英雄，“每个人都说祖父是个非常出色的军人”，“约翰·莫斯比曾经是最优秀的骑兵领袖，祖父比起莫斯比来说，是更优秀的非正规骑兵队的领袖。”（海明威，2012:565-568）

在给友人的信件中，海明威也数次提到战争。1925 年在给斯哥特·菲茨杰拉德的信中，海明威写道“战争是所有主题中最好的一个。”（Hemingway, Baker, 1981: 176; Baker, 1969: 161）1939 年在写给伊凡·卡西金的信中，海明威说“我们知道战争不是好事，然而有时又必须要打。但战争仍然是不好的，任何人都不这样认为都是骗子。但如实地书写战争又是相当复杂、极其困难的。”（Hemingway, Baker, 1981:80）但海明威又在 1952 年写给查尔斯 A. 芬顿的信中同时指出，“正如任何战争经历对于作家都是无价之宝，但他拥有太多又是有害的。”（765）这可视作海明威关于战争对创作影响的定论性、总结性评论。显然，在海明威看来，战争是一种行动与体验，也是作家的写作指导书。因此，在这篇充满自相矛盾的文章中，路易斯的观点与他先前在《白脸》中的观点是大致是一致的。也就是说，他认为海明威是一个反知识主义或称反智主义者，而不是原始主义者。正如梅耶所言，“然而路易斯的将理性凌驾于直觉之上的简单化讽刺，忽略了海明威的意识以及他对原始主义的综合运用。”（Jackson J. Benson, 1990: 304）

## 5. 结论

在近百年的海明威批评中,海明威的原始主义问题由来已久,但研究不够深入,国内外分歧很大。在为数多的海明威原始主义批评成果中,国内外研究者在研究对象、研究内容与研究结论存在较多分歧。由于海明威父亲和海明威本人均具有不同程度的印第安营地经历,从海明威家族的“印第安情结”进行原始主义批评具有合理性,但应全面把握其“印第安情结”的二元属性,不能简单地对这种情结做出肯定或否定的结论。本文着重从“印第安情结”与海明威原始主义批评、“中世纪主义”与海明威原始主义批评两个方面厘清了海明威原始主义批评中存在的分歧,提出了相关质疑,认为这两个方面是海明威原始主义批评中的两个主要方面,也是容易产生分歧的重要因素。同时,本文也对温德汉姆·路易斯对海明威的相关论述做出了深入剖析,对其是否是海明威原始主义批评者提出了相关质疑。通过对这些批评提出质疑,本文旨在促使学术界对海明威的原始主义批评做出重估,进一步推动海明威批评向前发展。

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## Differences of Chinese and Foreign University Applied Talents Training

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**Keywords:** Application type; Talent training mode; Difference; University.

**Abstract.** When I graduated from a domestic university and went to graduate school in other countries for the first time, I encountered a problem, it is how to use a large public printer to print courseware. In fact, the large public printer like China each colleges and universities in some type floor type print copier store, I need to insert the U disk, find the required documents, and appropriate format adjustment, then print. But on this simple steps, me and the Chinese students do not know how to operate. The local students are very accustomed to do. In China, we only need to store the file, the staff will be the whole operation, without the need of the students themselves, so a simple and skills, students do not have the opportunity to exercise, it touched me deep. In this research, Application oriented undergraduate education is an important direction of the development of higher education in china. How to make the application oriented personnel training mode to achieve the optimization, it is a important problem that our application-oriented universities should focus on. In the stage of higher education, the cultivation of applied talents must be diverse. Along with the expansion of higher education, the proportion of college graduates in the employment of the population increasing, the vast majority of graduates must find employment opportunities in all walks of life in the first-line position, occupation basically with practical problems related. Colleges and universities need to set up a variety of professional according to the needs of the community, to develop a wide range of applied talents. Germany, Britain and the United States including Australia in applied talents training mode and China both have similarities also have their own characteristics. Combined with other countries on the application of different training ideas, comprehensive diversity. The training goal, from which you can draw a clear applied undergraduate application oriented Undergraduate Education in our country to strengthen the talent combination mode so as to realize the application of the results of the industrialization and the formation of innovative spirit and practical ability of the teachers and academic team inspiration. In order to establish the training mode for their own talents.

## 中外高校应用型人才培养的差异

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**关键词:** 应用型; 人才培养模式; 差异性; 大学

**中文摘要:** 当我从国内大学毕业,前往其他国家攻读研究生学位第一天时,我遇到了一件难题,就是如何使用校内大型的公共的打印机去打印课件。其实所谓的大型公共打印机就像中国每所高校都有的打字复印店里的落地式打印复印机一样,我所需要做的就是刷学生卡,插入 U 盘,进行简单的操作,调出需要的文档,进行适当的格式调节,之后打印。但就这简单的几个步骤,我和我国内同学竟不知如何操作。而当地的学生却非常习以为常的使用。在中国,打字复印都是将资料直接交给店主,店主就全程操作,无需学生自己动手,就这样一项及其简单的技能,学生都没有机会得到锻炼,这让我触动颇深。在本研究中,应用型本科教育是目前我国高等教育发展的一个重要方向。如何使用应用型人才的培养模式达到最优化,是我国应用型本科高校应当思考的一个问题。在高等教育阶段,应用型人才的培养必须是多样的。随着高等教育规模的扩张,高校毕业生在就业人口中的比例日益扩大,绝大多数毕业生必须在各行各业的第一线岗位中寻找就业机会,从事的职业基本上都与具体的实际问题相关。高校就要根据社会需求设置多种多样的专业,培养多品种的应用型人才。德国、英国和美国包括澳大利亚在应用型人才培养模式上与我国既有相似点也有各自的独特性。结合其他国家对应应用型人才不同的培养理念,综合多样性,我国应用型本科教育从中可以得出明确应用型本科院校的人才培养目标、加强产学研结合的模式以实现应用成果的产业化、组建具有创新精神和实践能力的师资队伍和学术团队等启示,从而建立适合自己的人才培养模式。

## 1. 国外高校对应用型人才的培养方向

社会对人才可以从不同的角度加以分类,从生产或工作活动的目的来分析,现代社会的人才可分为学术型(理论型)、工程型、技术型和技能型四类。按照联合国教科文组织 1997 年颁布的世界教育分类标准,与普通高等教育培养学术型、工程型人才相对应,高等职业教育培养高等技术应用型人才。应用型人才是指能将专业知识和技能应用于所从事的专业社会实践的一种专门的人才类型,是熟练掌握社会生产或社会活动一线的基础知识和基本技能,主要从事一线生产的技术或专业人才,其具体内涵是随着高等教育历史的发展而不断发展的。

要了解外国高校应用型人才培养的方向,首先我们要了解应用型人才应具备的基本素养:

### 1.1 身体状况

应用型人才落脚于人,健康的身体与精神力是个人前进的最大保障。健康的体魄与乐观的精神才能保证个人能负担起较重的责任,而不致因体力不济而功败垂成。我们经常可以看到这样的情况,在一件事情的处理过程中,越是能够坚持到最后一刻的人,往往是体能与精神双重强大的人,才是越有机会成功的人。

### 1.2 思路敏捷

思路敏捷是处理事情成功必备的要素,它往往体现在一个人的反应能力、应变能力上,一个能将事务处理成功的人必须具有极强的反应力及对突发事件的应变能力上。同时,一件事情的处理往往需要洞察先机,在时机的掌握上必须快人一步,如此才能促使事情成功,因为时机一过就无法挽回。

### 1.3 团队意识

中国有句古话:“众人齐心,其利断金”。一个人的能量要想做好一件事情,决不能一意孤行,更不能以个人利益为前提,而必须经过不断地协调、沟通、商议、集合众人的力量,以整体利益为出发点才能做出为大众所接受和支持的决定。一个人的力量极为有限,团队则弥补了单人行动的弱点,众人取长补短,互相督促,才能发挥最大化力量。

## 1.4 领导力

一个人拥有再高超的技术水平，再强大的专业知识，不具备领导力，我们只能称作“将才”。而企业需要各种不同的人才为其工作，但在选择干部人才时，必须要求其具备领导组织能力，这就是为什么有些技术方面的专才，虽然能够在其技术领域内充分发挥，却并不一定完全适合担任主管干部的职业，所以企业对人才的选用必须从基层开始培养干部，经过各种磨练，逐步由中阶层迈向高层，使其适得其位，一展其才。

## 1.5 求知创新

求知欲在学生时期尤为体现，课堂上能学到的知识非常有限，同样的知识内容和授课教师，教出的学生水平参差不齐，这就体现在学生其他时间的求知欲与创新精神上。对知识技术的不满足，不墨守成规，是人进步的最大动力。

## 1.6 交际能力

社交伴随人的一生，学习如何社交也是学生时期一项非常重要的内容。社交过程是认识和展示一个人的态度、口才、谈吐、修养等方面的最好方式，有了好的社交能力，才能更好的获得他人共鸣，才较容易促使事情成功。

## 1.7 品行操守

国外高校非常重视学生的操守，他们对学生录取的审核中，有一项非常重要的内容是犯罪记录。一个学生再有潜力、能力，如果没有良好的生活习惯，在品行操守方面不能把持住分寸，极有可能成为一个对社会有危害的人。

## 1.8 环境适应力

高校在培养人才时，必须注重学生适应环境的能力，特别会关注性格极端的学生，因为这种个性的人较难与人和睦相处，往往还会扰乱气氛。一个人初到某地，开始时必然感到陌生，如何能在最短时间内了解环境，并能愉快地与大家相处在一起的人，才是社会期望的人员。

# 2. 英、美、德高校应用型人才培养特点

## 2.1 英国人教育就是严谨的学风，完善的教育体系。我们称之为“多元化”应用型教育机制。

其“多元化”主要体现为以下特点：

### 2.1.1 模块化的课程组织：

所谓模块化课程组织，分为必修、选修、授课与实践模块。这一点其实与中国高校的教育机制有很多的相同之处，这种模块化的课程编排灵活性强，学生可以更大化的自主决定学习内容。专业方面的课程模块划分非常细致，课程设置并非笼统的大类，大一新生也可以选择，这样有助于学生可以更快更早的了解自己的兴趣与未来职业意向所在。而很多过于冗杂的通识课程也可以由一定量的专业课覆盖，加之实践模块的配合，学生可以更早更好的提高专业能力。

### 2.1.2 严格的质量监控体制：

即庞大的证书保障体系，英国建立了包括国家职业资格证书和国家通用职业资格证书以及普通教育在内的独特的证书体系。各种资格证书既具有各自所使用的范围，并且互相之间可以互换，为各类应用型人才培养提供了便利条件。同时，各大院校的教学质量评估与科研水平评估结果向全世界公布，英国的高等教育会定期受到检查。英国大学的科研水平长期保持了一个很高水平，也是与这个质量监控体制分不开的。

### 2.1.3 英国教育的质量也体现在对学生的严格考核上：

有的专业可以用“残酷”来形容，被淘汰而拿不到学位的也大有人在，英国老师通常不会因为学生只差一点而放学生一马，他们的职业道德和敬业风度有力地保证了教育质量。

#### 2.1.4 以学生为本，大力推进课程创新：

英国高校众多，私立大学占大半，英国高等教育会规定，每年高校的学费及其他盈利必须全部用于学生的教育及相关领域，因此，以学生为本，大力创新新课程就成为了应用型人才培养的理念。尽可能的利用所有资源，发挥大学课程设置的自主性，以工作和学习者需要为起点组织课程，以就业能力培养为导向，创建“雇主定制课程”等课程体系也是英国教育的一大亮点。

## 2.2 德国

德国高校较早就开展了应用型人才培养模式。德国的高校设置并没有像中国一样设置专本科甚至一本二本之分，他们是以综合类全日制大学和专业技术类学院为划分，这两类高等教育平台均可接受学生的填报申请。其中，他们对应用型人才的教育模式我们称为“双元制”。其是指两种学习或者是在两个学习地点的学习，即职业教育在企业及非全日制职业学校平行进行。这样，企业和职业学校通过在教学师资、内容和教学场所等方面的密切配合，共同承担了专业技术教育职责的双元组织形式，主要经费由联邦政府、州政府、地方政府、欧盟以及企业、工会、行业协会、私立机构等共同承担，其中企业承担职业教育的较大部分开支。“双元制”的应用型人才培养模式，有以下突出特点：

#### 2.2.1 理论教学与实践教学相结合：

学生一半时间在职业学校学习，一半时间在企业实习工作中进步，这种体系可以让学生学习联系实际，学前与企业签订协议，学习期间同时获得工作经历，还可挣到实习工资。

#### 2.2.2 教育重视与企业合作，学生有一半的学习时间是在企业中学习、实习。

#### 2.2.3 德国的应用型高校拥有实力强大的应用型教师队伍：

德国应用型高校中，许多优秀的教师其实是来自经济界、各企业或其他社会机构的特聘或客座讲师，这些讲师与校内全职教授不同，他们可以及时的为学生提供校外新进、先进的知识技术，同时，也可以更好的指导实践操作。

## 2.3 美国高校应用型人才培养特点

美国是世界经济强国，同时也是教育强国，高校的数量及质量覆盖面广，大体可以分为几大类：大学、文理学院、社区学院等，其应用型人才主要由文理学院、社区学院等院校来培养，基础理论研究人才由各类大学来培养。因此美国的教育体制具有融合性，具体体现在开放化（向不同层次学习能力和经济条件的人开放）、国际化、灵活化（满足各种不同性质的学校不同目标的人的需要，国家没有统一的教育制度）的特点，这使得美国教育既能满足不同人群、不同层次的人们的需要，确保教育公平和机会均等，又能充分发挥不同受教育对象的个性特点，使教育充满活力和生机。例如哈佛大学采用多元人才培养模式，麻省理工学院则采用双元制的人才培养模式等。因此，在这种融合性的培养有以下突出特点：

#### 2.3.1 产学研相结合：

“产”指企业，“学”指高等院校，“研”指科研机构。产学研结合教育是以培养学生优良素质、综合能力和就业竞争能力为重点，充分利用学校与企业、科研单位等多种不同的教育环境和教育资源以及在人才培养方面的各自优势，把以课堂传授知识为主的学校教育 with 直接获取实际经验、实践能力为主的生产、科研实践有机结合的教育形式。政府与大学合作，把基础研究与应用研究和国家工业未来的发展紧密联系起来，同时也资助有一定应用前景的科研项目，鼓励大学与产业界联合申请基金项目，并对由企业介入投资开发产品的项目实行重点资助。企业资助大学搞科研，一些实力雄厚的大公司，通过向大学提供资金援助（包括非专项科研补贴、捐款、现金赠予等）和以赠予或收取费用等方式向大学转让科研设备，或在大学设立由企业支付薪金的教学或研究职位，以同大学建立永久合作，为进一步开展研究打

下基础。大学参加企业科研，大学教授去公司咨询、授课或做学术报告；大学研究人员到企业临时参加课题研究；企业到大学校园中公开招募学生从事一些课题的研究；公司科研人员到大学进修并取得学位等。

### 2.3.2 着重培养自学能力，加强创新思维培养：

美国的一学分实际上是一学时，基本上学生每周平均要在课堂上完成 15 个学时左右，也就是每周课堂上只有 15 小时的课程，其他的时间学生需要完成大量的课后任务，短短的 15 小时课程，其实背后是学生日以继夜的自学钻研，其目的是培养学生的自我学习能力，并且引导学生可以开拓创新。

## 3. 中国高校应用型人才培养特点

中国提出应用型人才培养较晚于其他发达国家，因此现阶段依旧处于探索期，对“应用型高校教育”还没有统一的定义，但是结合目前国内高等教育的发展趋势，我们可以总结出以下特点：

**3.1** 目前我国大部分应用型本科高校是由高等职业院校和专科学校升格成为本科院校，其目的在于向应用型本科高校方向靠拢。这些院校与传统老牌本科院校相比，无论从建校时间、师资力量以及科研能力方面都相对较弱。

**3.2** 实践教学模块较为突出，这类院校由于先天优势，在实践学习、实践操作方面，善于理论与实践相结合，是培养应用型人才的基本保障。

**3.3** 大力度与社会各企业、机构建立联系，为学生实地观摩和实习方面提供了更多的机会，但目前仍尚处于初级阶段。

**3.4** 由于中国人对大学有着先入为主的概念，因此学生和家長在择校时，还是会以学校的名气、是否是一类、二类本科来作为择校的关键条件，对于专业等其他方面考虑甚少；同时，很多社会企业在招聘方面也更多偏向大学的名气，而没有真正了解到自身所需。这也制约着应用型本科高校在招生方面的效果。

**3.5** 加强素质教育，素质教育一词已在我国被提倡多年，其是指一种以提高受教育者诸方面素质为目标的教育模式。它重视人的思想道德素质、能力培养、个性发展、身体健康和心理健康教育。而现在国内大学也在不断强调素质教育的重要性，这也是最靠近培养应用型人才应具备几项基本素养的方法。

## 4. 结束语

培养高校应用型人才任重道远。

培养高校应用型人才是我国教育发展、提高国民素质、培养人才的重大战略举措。不同高校实施专业化应用型人才或综合类研究性人才，可以使高校分工明确，梯次发展，避免重复建设，也可以突出各校的特色，达到教育资源的有效配置和利用。

培养高校应用型人才是我国人才培养方面未来重大的发展方向。应用型高校以实际应用出发，立足于应用，对应高校的理念与运转都应围绕这个目标服务。我国高校应及时审视自身的优势与劣势，在综合或应用的广阔天地中寻求发展，为学生提供更多更优质的选择，不再是“千军万马过独木桥”。

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## **Chapter 5:**

### **Sports Physiology**





## Effect of Sine Wave Vibration on the Muscle Atrophy Induced by Sports Injury

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**Keywords:** Exercise injury; High frequency sinusoidal vibration; Muscle spindle; Disuse atrophy; apoptosis; Skeletal muscle.

**Abstract. Objective** To investigate the antagonism of high-frequency sine-wave vibration (HFV) on the skeletal muscle in the disused state. **Methods** The animal models were established and the key techniques of the vibration instrument were improved. The short-term intermittent vibration was used to observe the effects of HFV on soleus muscle (SOL) wet weight in the brains of SD rats. The ultrasonography, immunohistochemical staining TUNEL assay, the effect of HFV on the brake in rat soleus muscle (SOL) wet weight to body weight ratio, muscle fiber cross-sectional area, ultrastructural changes, Bcl-2 and Bax expression. **Results** 1) The body weight ratio of SOL was  $30.22 \pm 2.68$ , decreased by 36.43%. The cross-sectional area of muscle fiber was  $3789.56 \pm 95.14\mu\text{m}^2$ , which decreased by 37.77%. (2) Electron microscopy showed that the extraocular muscle lesion was obvious after the brachytherapy, and chromatin agglutination in the nucleus was observed in the HFV group compared with the brachytherapy group. Skeletal muscle part of the dissolution of the sarcolemma, nuclear deformation. The Z-line structure of the extra-oculi muscle in the vibration group was clear, and no obvious change was observed in the intrafusal muscle fiber structure. 3) The expression of Bcl-2 in the SOL was significantly lower than that in the control group. The positive rate of Bax expression was 80% after brakes, which was significantly higher than that of the control group. AI after braking was 20%, significantly higher than the control group. The expression of Bcl-2 and the expression of Bax and AI in the HFV group were significantly lower than those in the control group. **Conclusion** The modified dystrophy vibrator has strong operability, which can restrain the process of apoptosis of the brake muscular atrophy.

## 正弦波振动对运动损伤所致肌萎缩的防治效果研究

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**关键词:** 运动损伤; 高频正弦波振动; 肌梭; 废用性肌萎缩; 骨骼肌

**中文摘要. 目的:** 探讨高频正弦波振动(HFV)对骨骼肌在废用状态时萎缩发展的对抗作用。**方法:** 建立废用动物模型, 改进振动仪的关键技术, 采用短时间歇式振动的方法, 结合电镜观察、免疫组化染色法和 TUNEL 法检测, 观察 HFV 对制动大鼠比目鱼肌(SOL)湿重体重比、肌纤维横截面积、超微结构的变化、Bcl-2 和 Bax 的表达情况。**结果:** 1) 制动后大鼠 SOL 湿重体重比为  $30.22 \pm 2.68$ , 下降了 36.43%。肌纤维的横截面积为  $3789.56 \pm 95.14 \mu\text{m}^2$ , 下降了 37.77%。HFV 组相对制动组的 SOL 湿重体重比及横截面积均有所增加; 2) 电镜可见制动后梭外肌病变明显, 核内染色质团块状凝集。梭内肌部分肌膜溶解消失, 细胞核变形。振动组的梭外肌 Z 线结构比较清晰, 梭内肌纤维结构未见明显改变; 3) 制动后大鼠 SOL 中 Bcl-2 阳性表达率为 20%, 明显低于对照组的表达情况。制动后 Bax 阳性表达率为 80%, 明显高于对照组的表达情况。制动后 AI 为 20%, 明显高于对照组。HFV 组相对制动组的 Bcl-2 阳性表达率均有所增加, Bax 阳性表达率以及 AI 有所降低。**结论:** 改进后的抗肌萎缩振动仪操作性较强, 对废用性肌萎缩的发展进程有抑制作用。

## 1. 引言

运动损伤是指在体育锻炼过程中所发生的损伤以及因生理功能下降而导致的各种运动性疾病的总称。肢体制动或运动减退后, 骨骼肌的质量和生理功能会发生明显的退行性改变, 对人体的技能提高和运动寿命乃至日常活动会产生深远的影响<sup>[1,2]</sup>。目前主要的临床干预措施有机械负荷训练、药物治疗、电刺激、营养补充等等。但由于缺乏在细胞和分子层面对诱发肌萎缩机制的统一认识, 目前尚没有权威的有效治疗方法<sup>[3]</sup>。

凋亡信号相关途径的改变会导致人类疾病<sup>[4]</sup>, 在维持骨骼肌动态平衡中发挥重要作用。肌梭的传入放电减少是废用性肌萎缩发生的重要原因之一<sup>[5]</sup>。高频正弦波振动(HFV)可以选择性地兴奋肌梭<sup>[6]</sup>, 有对抗废用性肌萎缩的作用, 相对于上述治疗方式, 具有无痛易行的优势。为此, 我们以大鼠后肢伸长位制动为废用动物模型, 改进抗肌萎缩振动仪的关键技术, 采用短时间歇式振动的方法, 结合电镜观察、免疫组化染色法和 TUNEL 法检测, 观察 HFV 对制动大鼠比目鱼肌(SOL)湿重体重比、肌纤维横截面积、超微结构的变化、Bcl-2 和 Bax 的表达情况, 探讨 HFV 对骨骼肌在废用状态时细胞凋亡的对抗作用, 为寻找预防和治疗废用性肌萎缩的有效措施提供资料。

## 2. 研究对象和方法

### 2.1 高频正弦波振动的发生装置

此次试验所采用的抗肌萎缩振动仪有别于目前市场各种传统的正弦机械振动发生装置(用线圈在匀磁场中的振动代替传统意义上的机械振动), 技术关键是通过数字电路控制线圈电流的频率和幅值。电流控制主要通过一个数字电路和一个模拟电路来实现。

### 2.2 实验动物及分组

将健康雌性 SD 大鼠按体重配对原则分为 5 组(西安交大医学院实验动物中心提供, 体重为 230~240g, 每组 6 只动物)。实验过程中对动物处置符合 2006 年科学技术部发布的《关于善待实验动物的指导性意见》。

### 2.3 制动动物模型

应用传统模型并加以改进: 将大鼠进行腹腔麻醉, 在大鼠左后肢的弯曲部位垫以棉层, 最终用石膏绷带包扎动物后肢, 将其固定在踝关节背伸(约 45°)而膝关节伸展(约 180°)位, 使 SOL 处于伸长位。

### 2.4 振动方法

在 SOL 肌腹部位采取短时多次的间歇式振动方法(高频正弦波振动仪器为自属专利产品)进行振动 (50Hz, 100Hz 和 200Hz, 300um, 14d)。每振动 1min 后间歇 1min, 重复 4 次后间歇 2 min, 此为一个振动周期, 每回重复振动 3 个周期, 每天进行 4 回振动。

2.5 检测方法

将大鼠进行腹腔麻醉, 称体重后经升主动脉行血管灌注固定。灌注后立即取出大鼠左下肢比目鱼肌 (SOL), 称重并剪修肌肉 (以 100g 体重标化计算 SOL 湿重体重比, MWW/BW), 电镜样品用戊二醛固定后交至西安交通大学电镜中心, 免疫组化样品浸于多聚甲醛固定液(40 g/L, 4℃)中过夜, 以垂直位行石蜡包埋。采用免疫组化检测 Bcl-2 和 Bax 的表达情况。最终计算出 Bcl-2 和 Bax 的阳性表达率。采用 Gavrieli 建立的 TUNEL 法标记骨骼肌调亡的细胞核, 阳性细胞核呈棕黄色且密集、固缩, 单纯核棕黄色记为阴性。在 400 倍的光镜下,被观察的每张切片随机检测 10 个视野,计数每个视野的调亡的骨骼肌细胞数, 以调亡阳性细胞数/总细胞数作为细胞调亡指数 (Apoptosis Index, AI)。

2.6 统计学分析

实验应用 Image-Pro PLUS 图象分析系统(MEDIA CYBERNETICS)计算肌纤维的横截面积 (CSA)与调亡细胞数, 求出每组动物的均值。实验数据采用 SPSS13.0 软件中的单因素方差分析法 (ANOVA) 进行统计分析。实验结果以均数±标准差 ( $\bar{x} \pm s$ ) 表示, 取  $P < 0.05$  作为统计学差异的界值。

3. 实验结果

3.1 HFV 对制动大鼠 SOL 湿重及 CSA 的影响

大鼠行制动实验 14 d 后, SOL 湿重体重比为  $30.22 \pm 2.68$ , 与 CON 组( $47.54 \pm 3.97$ )对比有显著性差异( $P < 0.05$ ), 下降了 36.43%。CSA 在制动 14d 后为  $3789.56 \pm 95.14 \mu m^2$ , 与 CON 组 ( $2367.98 \pm 81.45 \mu m^2$ ) 对比有显著性差异( $P < 0.05$ ), 下降了 37.77%。高频振动各组相对 IMM 组的 SOL 湿重体重比及 CSA 均有所增加, 且差异显著( $P < 0.05$ )。其中 IMM+100Hz 组的效果更为明显。

表 1 HFV 对大鼠比目鱼肌湿重及 CSA 的影响 ( $n=6, \bar{x} \pm s$ )

Tab.1 The effect of HFV on wet weight and CSA of rats					
Group	CON	IMM	IMM+50Hz	IMM+100Hz	IMM+200Hz
MWW/BW	47.54±3.97	30.22±2.68*	37.43±2.67 <sup>#</sup>	45.25±4.03 <sup>#</sup>	42.98±3.96 <sup>#</sup>
CSA (μm <sup>2</sup> )	3789.56±95.14	2367.98±81.45*	3385.73±86.48 <sup>#</sup>	3692.35±93.65 <sup>#</sup>	3576.47±87.64 <sup>#</sup>

注: \*表示与 CON 比较差异显著 ( $P < 0.05$ ), #表示与 IMM 比较差异显著 ( $P < 0.05$ )。

3.2 HFV 对制动大鼠 SOL 超微结构的影响

透射电镜(TEM)下可见, CON 组梭外肌结构清晰, 肌节完整, Z 线整齐。肌梭结构完整清晰。制动 14d 后, 梭外肌病变明显, Z 线呈水纹样病变。梭内肌部分肌膜溶解消失, 细胞核变形, 肌浆网扩张。高频振动组的梭外肌细胞轻度肿胀, 肌原纤维排列略有紊乱, Z 线结构比较清晰。梭内肌纤维结构虽有些疏松、水肿, 但 Z 线排列整齐, 肌原纤维结构完整, 细胞核形态结构正常, 神经末梢与轴周间隙未见明显改变。

3.3 HFV 对制动大鼠 SOL 细胞调亡的影响

制动 14d 后大鼠 SOL 中 Bcl-2 阳性表达率为 20% (2/10), 明显低于 CON 组的表达情况 (9/10, 90%)。制动 14d 后 Bax 阳性表达率为 80% (8/10), 明显高于 CON 组的表达情况 (3/10, 30%,  $P < 0.05$ )。制动 14d 后 AI 为 20%, 明显高于 CON 组的表达情况 (3/10, 30%,  $P < 0.05$ )。

高频振动各组相对 IMM 组的 Bcl-2 阳性表达率均有所增加, Bax 阳性表达率以及 AI 有所降低( $P<0.05$ ), 其中 IMM+100Hz 组的效果更为明显。制动 14d 后, 肌梭中 Bcl-2 阳性表达有减少的趋势, Bax 阳性表达有升高的趋势。在 CON 组肌梭中可见凋亡细胞核, IMM 组凋亡细胞核明显增多, 细胞肿胀(胞核也肿胀)明显。高频振动各组相对 IMM 组 Bcl-2 阳性表达有升高的趋势, Bax 阳性表达有减少的趋势, 凋亡细胞核明显减少。

表 2 HFV 对大鼠 SOL 细胞凋亡的影响 ( $n=6, \bar{x} \pm s$ )

Tab.2 The effect of HFV on apoptosis of rats				
组别	Bcl-2 阳性率	Bax 阳性率	Bax/Bcl-2	凋亡指数 AI
CON	90.00±0.00%	30.00±0.00%	0.33	2.00±1.22%
IMM	20.00±0.00%*	80.00±0.00%*	4*	26.40±7.16%*
IMM+50Hz	40.00±0.00%	60.00±0.00%	1.50 <sup>#</sup>	19.5±7.43% <sup>#</sup>
IMM+100Hz	60.00±0.00%	40.00±0.00%	0.67 <sup>#</sup>	13.4±5.941% <sup>#</sup>
IMM+200Hz	50.00±0.00%	50.00±0.00%	1 <sup>#</sup>	17.2±4.98% <sup>#</sup>

注: \*表示与 CON 比较差异显著 ( $P<0.05$ ), #表示与 IMM 比较差异显著 ( $P<0.05$ )。

4. 分析与讨论

4.1 对高频正弦波振动仪器所进行的技术改进

高频正弦波振动可提高肌梭的敏感性及传入放电, 为此, 我们以前期的自主产品“探头机箱式振动仪”(已获得专利)为基础, 对正弦振动的发生装置进行了改造创新(专利申请中), 其主要发明创新有: ①用线圈在匀磁场中的振动代替传统意义上的机械振动, 实现摩擦小、耗能小、容易控制、可以微型化的目的; ②小型电流源的设计, 实现恒定正弦电流型号的输出, 使线圈产生的动生电动势和感生电动势在线圈内产生的电流对输入电流基本无影响; ③通过程序实现对芯片 AD9833BR 的控制产生正弦电压输出, 继而控制电流输出, 最终实现对机械振动的控制, 也可通过改变程序实现其他形式的输出。

4.2 SOL 湿重及肌纤维横截面积的变化

骨骼肌的质量和体积可以根据生理和病理条件而产生变化, 肌萎缩的速度和程度具有很大的异质性, 废用状态下慢肌萎缩较快肌明显, SOL 和腓肠肌内侧肌萎缩速度最快<sup>[7]</sup>。因此, 我们选取了大鼠 SOL 对湿重体重比和肌纤维横截面积进行了观察, 结果发现制动后 SOL 出现了较大程度的萎缩。多数学者认为, 肌萎缩的主要原因是由于废用状态下肌肉蛋白合成速率下降或/和分解速率上升导致, 肌肉湿重及肌纤维横截面积的减少机制可归因于蛋白质降解增加与合成受阻<sup>[8]</sup>。细胞凋亡是维持增殖组织完整性的必要性<sup>[9]</sup>, 凋亡细胞核可能促进了肌肉质量的减少, 但其机制不甚明了。

4.3 SOL 超微结构的变化

细胞凋亡具有独特的生物化学过程和细胞形态学变化<sup>[10]</sup>, 有学者认为, 电镜下调亡细胞的形态特征(细胞骨架杂乱、细胞质和核浓缩、内质网腔膨胀、凋亡小体逐渐形成)仍然是确定细胞凋亡较为可靠的定性方法。本实验电镜观察可见细胞皱缩, 核固缩、碎裂, 动态膜皱缩和邻居或细胞外基质的粘附损失等比较典型的细胞凋亡特征, 可以初步判断在废用状态下细胞凋亡的存在。

4.4 肌肉萎缩与凋亡

废用导致的肌萎缩往往会出现细胞核数量的损失, 这种凋亡性核死亡与单核细胞的凋亡过程有所区别<sup>[11]</sup>。细胞凋亡信号通路(死亡受体通路、线粒体通路和内质网通路)的激活在废用性肌萎缩的发生发展中具有重要作用: 死亡配体与细胞外受体结合后将凋亡信号转至胞内, 活化 Caspase-3 引发 DNA 酶和核酸内切酶裂解基因组 DNA 并最终导致凋亡。这一过程

发生在骨骼肌蛋白降解之前。 Bcl-2 蛋白家族与凋亡密切相关<sup>[12]</sup> Bax 可降低脂质双分子层的稳定性, 启动 Caspases 的级联反应, 导致染色质浓缩、核小体 DNA 片断化和凋亡小体的形成, 促使细胞凋亡<sup>[13]</sup>。线粒体是凋亡的核心环节, 可以放大外源性凋亡信号<sup>[14]</sup>。此次试验显示, 高频振动各组相对 IMM 组的 Bcl-2 阳性表达率均有所增加, Bax 阳性表达率以及 AI 有所降低, 推测高频振动因为兴奋了肌梭而改变了骨骼肌纤维的内环境, 延缓了胞内线粒体的损失程度。

#### 4.5 肌梭的适应性变化

肌梭是骨骼肌内主要的感受牵拉刺激的感受器<sup>[35]</sup>, 在运动减退、制动或肌肉去负荷等情况下, 由于肌梭受到的刺激减少, 向中枢传入的神经冲动也随之减少, 随着废用时间的延长, 进而会诱发有关中枢部位的变化, 后者通过一系列复杂的神经、体液调节机制引起梭内肌与梭外肌代谢、结构或功能的改变, 最终导致(或加重)肌肉萎缩<sup>[15]</sup>。正弦波振动可以选择性兴奋肌梭, 使肌梭传入纤维, 特别是初级传入纤维(I类纤维)的传入冲动增加。因此我们认为: 高频正弦波振动可抑制废用状态下大鼠比目鱼肌肌梭代谢与功能活动的改变, 提高肌梭的敏感性及传入放电, 从而反射性的引起肌紧张增强, 改善梭外肌的代谢、功能和组织结构, 因而具有对抗肌肉萎缩的作用。

#### 5. 结束语

骨骼肌凋亡是一个受机体高度调节的细胞进程, 往往会出现于细胞坏死之前。一般认为, 在单核细胞中经典的凋亡通路, 可能难以在肌细胞中观察到, 而且废用状态下肌细胞凋亡的具体分子机制仍不明确, 多数研究只能从控制某一外界刺激方式的某一层面展开观察。预计将来在对细胞凋亡在肌萎缩的机制研究中, 会展开多因素多层次的系统研究, 将会提供更多途径的综合防治措施。高频正弦波振动对运动损伤所致的废用性肌萎缩有对抗作用, 可以延缓细胞凋亡进程, 在临床上具有易操作和无创伤的优点, 我们会进一步使之便携化和经济化, 下一步工作将是对人体“可穿戴式抗肌萎缩仪”的研制。

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# Study on the Development and Prevention of Amyotrophy Induced by Sports Injury

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**Keywords:** Sports injury; Disuse muscle atrophy; Skeletal muscle; Prevention and treatment.

**Abstract.** The incidence of injury in sports is increasing day by day, the cause of sports injury and the important research topic of rehabilitation therapy in sports medicine and sports training field. Traumatic brake can cause disuse muscle atrophy, this paper from the disuse of muscle atrophy during the process of changes in muscle structure and function characteristics of the mechanism of disuse muscle atrophy and disuse prevention and treatment of muscle atrophy three And pointed out that the current study of the mechanism of disuse of muscle atrophy has not yet fully elucidated, so these countermeasures are still not perfect, and the human experimental research is also less, the lack of systematic and holistic, to develop scientific and effective protection Measures to be further explored and improved.

## 运动损伤所致肌萎缩的发生发展与防治措施研究

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**关键词:** 运动损伤; 废用性肌萎缩; 骨骼肌; 防治措施

**中文摘要.** 在运动过程中损伤的发生率日益增高, 运动损伤的成因和康复治疗运动医学和运动训练学领域的重要研究课题。创伤后制动会引起废用性肌萎缩, 本文从废用性肌萎缩过程中肌肉形态结构和功能的改变特征、废用性肌萎缩的发生机理以及废用性肌肉萎缩的防治措施等三个方面进行了阐述, 指出目前研究对废用性肌萎缩的发生机制尚未完全阐明, 因而这些对抗措施仍然不够完善, 而且人体实验研究也较少, 缺乏系统性和整体性, 要研制科学有效的防护措施尚待进一步的探讨和完善。

### 1. 引言

随着体育运动的发展和人们对生活质量及寿命不断增长的要求, 参与体育运动人数的逐



渐增多，在运动过程中损伤的发生率也日益增高。而竞技运动水平的高速增长对专业运动员的身体素质、技战术和意志品质提出了更高的要求。运动损伤长期被运动医学界或体育学术界所关注，不管是重视大众体育，还是推崇竞技体育，都对运动损伤的成因、康复治疗高度重视，遍及各个研究领域（运动医学、运动训练学、体育教育学等）。

## 2. 运动损伤的概念及类型

运动损伤是指在体育运动中，造成人体组织或器官在解剖上的破坏或生理上的紊乱，称为运动损伤。其发生与运动训练、运动技术、运动项目、运动环境和装备等有密切关系，主要发生在人体运动系统，是运动医学的重要内容之一。根据运动能力丧失程度对于运动损伤的分类如下，轻度型运动损伤：运动能力保持正常，能够继续正常进行简单的运动且不会使得病情加重，比如轻微擦伤，挫伤等等。中度型运动损伤：运动能力局部丧失，会在一定时间内不能进行受伤部位的训练或者不能从事全身参加的体育运动，需要减少运动量进行身体恢复，还需要借助药物的治疗。比如肌肉拉伤，踝关节扭伤等等。重度型运动损伤：损伤后需要住院治疗，而且有可能较长时间无法从事体育运动或者体育训练，比如粉碎性骨折，器官损坏，关节脱位等等。由此分类可以推断：中度型运动损伤和重度型运动损伤会导致停训或是停赛，部分情况会要求卧床或是制动，由此可造成心血管和代谢的运动适应性明显减退，创伤后制动会引起废用性肌萎缩，对运动员的训练及比赛产生很大的影响。

## 3. 废用性肌萎缩过程中肌肉形态结构、功能的改变

### 3.1 肌肉形态结构的改变

肌纤维类型的转变：废用引起的肌肉重量和体积减小的主要原因是肌肉萎缩，人头低位卧床 20d 后，通过磁共振观察发现股四头肌的生理横截面积减小，且股中间肌萎缩最明显。肌纤维横截面积减小的主要原因是肌纤维蛋白质含量下降，包括收缩蛋白和其他肌浆蛋白质。肌纤维横截面积减小是肌肉萎缩最直观的指标，随废用时间的延长，肌纤维横截面积会进行性减小，肌纤维密度相应增大，这在废用前 2 周最明显。电泳和组织化学结果显示，废用条件下，快肌球蛋白轻链含量增加，慢肌纤维中的快肌球蛋白表达提高。因此，收缩蛋白轻链和重链表达的改变引起了肌肉收缩蛋白质和量的变化，导致肌纤维类型的改变。

肌肉超微结构的改变：废用或模拟废用条件下，肌肉的超微结构也发生了变化。肌肉萎缩常伴有肌肉某些区域的坏死，并且随废用时间延长，肌肉萎缩和坏死更明显。对卧床休息 30d 的健康男性比目鱼肌行肌肉活检发现：肌肉内出现波动样 Z 线，肌原纤维蛋白排列顺序紊乱，细胞水肿，细胞间隙偶可见线粒体，表明肌纤维细胞膜破裂。

### 3.2 肌肉功能的改变

肌肉电生理活动的改变：分析飞行后航天员肌电功率谱，发现恢复期的肌电优势频率转向较高频带，证明废用条件下肌电频率降低。肌电活动的降低还表现为，腱发射阈值降低，发射持续时间延长。这种变化与废用引起的神经传导速度、神经递质的释放或动作电位在肌膜或三联网结构的传导等的改变可能有关。Hoyer 等对 21 例行一侧下肢制动致股四头肌萎缩的患者进行研究发现萎缩肌肉与对照组相比，其肌电图（EMG）有显著性改变，其中萎缩侧运动单位电位波幅升高 14.1%，时限延长 6.5%，电位的时相及波峰也明显增加。对 33 例废用性肌萎缩患者行股四头肌电生理测定（包括自发电位、运动单位电位分析及股神经传导速度）发现 3 例肌萎缩侧出现明显的纤颤电位及正锐波 9 患侧多相电位占 23.7%，健侧占 16.9%，二者有显著性差异；运动单位电位平均时限明显增宽，波幅明显增高；股神经传导速度无明显改变。

肌肉力学特征的改变：长期废用或模拟废用环境下，肌肉的力学特征也发生了改变。头

低位卧床 4 个月，健康人小腿三头肌的所有力学特征都明显下降，单收缩力下降 34%，自动收缩力下降 36%，诱发等长收缩力下降 34%，最大收缩和半舒张时间增加，并且总收缩时间增加。

### 3.3 废用对肌肉生化方面的影响

**酶的改变：**废用条件下，由于肌肉活动减少和下肢肌肉血流量的减少，以及物质代谢的改变，肌肉的某些酶学特性也发生了改变，如组织蛋白酶、细胞内蛋白水解酶、激活蛋白酶等活性升高，它们在肌肉蛋白退化过程中发挥重要作用。由于环境和活动状态的改变，肌肉某些酵解酶活性增加。以整体分析，比目鱼肌乳酸脱氢酶（LDH）、磷酸甘油脱氢酶（GDP）和磷酸果糖激酶活性都明显增加，但腓肠肌的快氧化-酵解纤维和快酵解纤维的 LDH 活性不变。

**蛋白质代谢的改变：**废用条件下，肌肉蛋白代谢的改变表现为蛋白合成率降低，降解率增加。实验发现，肌肉谷氨酰胺合成减少，支链氨基酸分解加快，说明蛋白质合成率降低；利用肌肉氨基酸释放量或计算机模拟方法，证实废用时肌肉蛋白降解率加快。

**能量代谢的改变：**废用或模拟废用条件下，由于肌肉利用能量减少，能量代谢发生了改变。肌肉局部血流量的降低，造成缺血性缺氧症，直接影响糖代谢。废用条件下，动物比目鱼肌糖原浓度和酵解中间产物 G-1-P、Gluc-3-P、Pyr 和葡萄糖含量增加。肌肉活动减少导致糖原分解的降低，可能是废用开始糖原浓度升高的原因，后期可能与糖原合成加快有关，长期糖原浓度增加，可能与肌肉胰岛素受体密度增多有关。

**激素的改变：**糖皮质激素是影响蛋白质代谢重要的激素，废用初期，大鼠血浆糖皮质激素就出现暂时升高，肌肉蛋白合成率明显减低，但后期血浆皮质酮又回到正常水平，而比目鱼肌蛋白合成仍受抑制。废用条件下，肌肉局部血流量减少，出现缺血性缺氧症，引起组织前列腺素（PG）的产生。缺血可引起骨骼肌内花生四烯酸浓度升高和静脉内 PG 样物质的形成。动物四肢制动后，阻断动脉 2 分钟，可引起肌肉内 PG 的升高，可见，血流量减少是肌肉 PG 浓度升高的重要刺激。另外，缓慢的缺血性收缩，可引起缓激肽的产生，而缓激肽又可促进 PG 的生成。前列腺素浓度的升高，对蛋白质合成和降解都有影响。

**肌肉  $\text{Ca}^{2+}$  的改变：** $\text{Ca}^{2+}$  是骨骼肌收缩重要因子，废用不仅影响细胞内外  $\text{Ca}^{2+}$  含量，对肌浆网和线立体内  $\text{Ca}^{2+}$  含量也有影响，而  $\text{Ca}^{2+}$  浓度的改变又影响了肌肉功能。废用或模拟废用条件下，肌肉组织某些区域肌浆网和线立体体密度的增加也可能与  $\text{Ca}^{2+}$  浓度改变有关。肌浆网对  $\text{Ca}^{2+}$  的摄取和释放是肌肉收缩的一重要环节，因此， $\text{Ca}^{2+}$  浓度和肌浆网功能对肌肉力学有重要的影响。

**血流动力学及微血管反应：**周翔等应用多普勒超声检测了 20 例双下肢肌肉萎缩的患者双侧股动脉及足背动脉的各种血流多普勒参数，发现与正常组相比，肌萎缩组股动脉舒末期血流速度升高、舒张早期反向血流速度降低、早期反向血流持续时间缩短，足背动脉血流的多普勒参数无差异，认为双下肢肌肉萎缩对下肢干动脉的血流动力学产生影响，主要影响是引起舒张期血流参数变化。大量研究证实制动会对肌肉毛细血管形态产生影响，毛细血管密度（CD）和毛细血管数/纤维数（C/F）是评价血供的两个常用指标。因此认为肌萎缩所致毛细血管的改变依赖于废用时间及肌肉纤维类型的不同，特定肌肉中萎缩所致毛细血管的改变依赖于血流速度的改变。

### 4. 废用性肌萎缩的发生机理

关于废用性肌萎缩发生机理的学说或假说，目前研究多集中于神经营养障碍学说、神经冲动减退学说和氧化应激学说。除三种假说外，肌肉代谢的紊乱、肌肉张力与紧张性的降低以及细胞凋亡等在废用性肌萎缩的发生中都可能具有一定的作用，因此，人们推测，废用性肌萎缩的发生实质上是由多源性因素所引起的。

## 5. 废用性肌肉萎缩的防治措施

运动疗法机理及其临床意义：运动疗法是以运动学、生物力学和神经发育学为基础，以改善躯体、生理、心理和神经的功能障碍为主要目标，以作用力和反作用力为主要因子的治疗方法。运动疗法既包括主动躯体活动训练，也涉及被动性躯体活动，主动运动和被动运动应该是主从关系，主动运动是功能训练的根本，被动运动是主动运动的准备和补充。其作用包括：改善运动组织（肌肉、骨骼、关节、韧带等）的血液循环、代谢和神经控制。废用或模拟废用条件下，肌肉活动减少，肌肉的正常舒缩活动对血液回流的“泵样”挤压作用降低，血液在静脉内发生郁积，组织液渗出增加，肌肉的血液供应及营养发生障碍。肢体被动活动，可以使瘫痪肌肉发生被动性的缩短与拉长，这一方面促进了肌肉血液循环，加速了静脉及淋巴回流，使组织间水肿得以减轻，从而缩短血液中氧及营养物质与肌细胞之间的弥散距离，有利于肌肉内氧及代谢产物交换；另一方面通过机械性地将肌纤维拉长与缩短，使肌肉保持一定的弹性，防止关节僵直及废用性骨质疏松与萎缩，为再生的神经纤维到达靶器官作好良好的肌肉及关节功能准备。经过蹬车训练的人股四头肌利用脂肪酸进行氧化供能的能力明显增强，肌细胞糖元储备增加，肌肉的耐力及收缩力均增强。大量的动物实验结果也证明锻炼能够有效地防止废用所引起的肌肉萎缩，适宜的运动可以增强肌肉的有氧代谢能力，加速肌梭及梭内肌纤维形态和 ATP 酶含量的恢复。

物理治疗：多种物理治疗方法可以促进萎缩肌肉功能的恢复，常用的理疗方法为低中频电刺激、热疗等。电刺激可以促使萎缩肌肉发生等长收缩，恢复肌肉对血液回流的唧筒作用，改善血循环，提高肌肉组织氧化能力，使合成代谢的能量供应得以改善，有助于维持肌肉正常的张力和肌紧张。电镜观察显示，电刺激后快缩肌纤维可逐步转变为慢缩肌纤维，同时肌纤维内的肌原纤维、横小管和肌浆网系统减少，线粒体含量增多，从而增强肌肉的抗疲劳能力，预防肌萎缩的发生发展，因此电刺激可作为肌萎缩患者康复训练的重要辅助措施。但是，目前，应用电刺激进行对抗废用或制动等引起的骨骼肌萎缩的研究主要应用于动物实验，还不能应用于人体，对于电刺激的作用欧美学者与俄罗斯学者之间还存在着较大的分歧。

药物治疗：生长激素(growth hormone,GH)可以通过 GF-1 促进蛋白质的合成，改善肌肉萎缩；抗氧化剂维生素 E 具有高效的抗氧化作用，可减轻肌肉中的氧应激，保护生物膜免受氧化物损害；神经损伤早期局部应用神经生长因子也可在一定程度上缓解营养物质缺乏，减轻终板的变性和肌肉萎缩；其他如  $\text{Ca}^{2+}$ 通道阻断剂、糖皮质激素抑制剂等也具有一定的防治肌萎缩作用。对右下肢固定患者在进行抗重力阻力训练 10 周的同时予患者口服水化肌酸，发现肌酸组制动时 GLUT4 蛋白含量无明显变化，训练组 GLUT4 蛋白含量较对照组增加 40%，认为口服肌酸补充剂可抵消制动所致 GLUT4 蛋白的下降，从而可防治肌萎缩及增强康复训练的效果。

其他治疗方法：刘春等将模拟废用大鼠行间断性 450 头高位倾斜(head up, HUT)后对骨骼肌肌肉湿重、I、II 型肌纤维 CSA 及 C/F 比值等进行了定量分析发现，HUT 可促使肌肉湿重部分或完全恢复，肌纤维 CSA 部分恢复，C/F 比值恢复。Takarada 等对行交叉韧带修复术后 3-14d 的患者分两阶段对股近端行血管阻断，每阶段重复 5 次，平均最大压力 238mmHg(1mmHg=0.133kPa)，并于术后 3, 14d 分析股部肌肉 CSA 的变化，发现试验组较对照组膝伸、屈肌肌群 CSA 明显降低，从而表明血管阻断技术能够有效的缓解术后膝伸肌群的废用性肌萎缩。

## 6. 结束语

长期以来，许多学者在运动损伤所致的废用性肌肉萎缩领域做了大量工作并积累了丰富的资料，也提出了一些行之有效的对抗措施，但由于现在对废用性肌萎缩的发生机制尚未完全阐明，因而这些对抗措施仍然不够完善，如废用对神经活动、神经递质、神经营养因子、

正常传入冲动、感受器敏感性等的影响还不完全清楚，所以要研制科学有效的防护措施尚待进一步的探讨和完善。而且人体实验研究也较少，缺乏系统性和整体性。但相信随着体育事业的发展，运动医学方面的研究将会更加深入，人类对废用性肌萎缩的发生机制的认识也将逐渐的深入，今后将有更多、更有效的对抗措施产生。

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## Discussion on the Rhythm and Athletic Performance of the Special Column in the 400m Column

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**Keywords:** Special training; Rhythm; Sports performance.

**Abstract.** In the past 30 years, the world's elite 400m hurdle athletes will run speed as a research topic. Determine the speed between the factors, one is to reduce the number of running between the hurdles; two is to improve the frequency of inter run. Athletes can reduce the number of running between the hurdles and speed up the inter column running frequency to improve the speed between the hurdles in order to achieve the purpose of improving the performance of the 400 meter hurdles. In this paper, based on the discussion of the special training of the 400m column, the paper analyzes the important relationship between the rhythm and the performance of the special hurdles.

## 对 400m 栏专项栏间节奏与运动成绩的探讨

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**关键词:** 专项训练; 节奏; 运动成绩

**中文摘要.** 近 30 年来, 世界优秀 400m 栏运动员都将栏间跑速度作为研究课题。决定栏间跑速度的因素, 一是减少栏间跑步数; 二是提高栏间跑的频率。运动员可以通过减少栏间跑步数和加快栏间跑步频来提高栏间速度, 以达到提高 400 米栏成绩的目的。本文在探讨了 400m 栏专项训练的基础上, 分析了专项栏间节奏与运动成绩的重要关系。

### 1. 前言

近 30 年以来, 世界优秀的 400m 栏运动员都将如何提高栏间跑速度, 以至于整体提高 400m 栏全程跑速度作为研究课题。为了更快的跑完 400m 栏全程, 更经济实效的提高运动成绩, 众多教练员、运动员都在寻找着影响 400m 栏跑全程速度的因素, 本文在 400m 专项训练的基础上, 通过研究分析 400m 栏优秀运动员的全程跑, 找到专项栏间节奏与运动成绩的重要关系。

## 2. 研究对象及研究方法

### 2.1 研究对象

本文的研究对象是创世界纪录的 400 米栏运动员和全国前八名的 400 米栏运动员。

### 2.2 研究方法

#### 2.2.1 文献资料法:

查阅大量国内外有关资料和观察高水平 400 米栏比赛, 以及分析优秀 400 米栏运动员的比赛数据。

#### 2.2.2 调查访问法:

对一些优秀教练员和运动员进行改变栏间节奏的训练方法和练习后的体会进行调查访问。

## 3. 分析与讨论

400 栏如同其他田径项目一样, 也是一个具有专项技术要素和综合机能结构的独立的项目。对于决定 400 米栏成绩的能力是建立在较高最大速度基础上的, 并以两腿能以个体节奏应付各种变化的跨栏技术相结合的专项速度耐力。

在 1992 年的第 25 后奥运会上, 美国男子 400m 栏运动员凯文·杨打破了由他的同胞埃德温·摩西在 1983 年创造的 47.02s 的世界纪录, 凯文·杨打破世界纪录的成绩是 46.78s。这一新世界纪录的产生预示着跨栏跑运动有了飞速发展。在跨栏跑成绩的不断提高中, 对运动员的全面素质要求和跨栏跑技术的发展完善以及跨栏跑训练的改革与创新的要求也越来越高了。这些年来, 各国专家对影响 400 米栏成绩的因素进行了大量的研究: 主要有以下几个方面的研究: 1)选材; 2)栏间节奏跑; 3)训练水平; 4)400m 平跑对 400m 栏成绩的影响; 5)速度和体能分配。以上因素对提高 400 米栏成绩有着重要的影响, 其中尤为重要是栏间跑节奏, 也就是我们所要强调的 400m 栏中的专项训练的重要性。近 30 年来, 世界优秀 400m 栏运动员都将栏间跑速度作为研究课题。决定栏间跑速度的因素, 一是减少栏间跑步数; 二是提高栏间跑得频率。对于已达高水平的优秀运动员来说频率要想改变非常困难。而减少栏间跑的步数也就是说增大每一步的步长这是完全可以通过训练改变的, 但是较少步数必须在原来的速度基础上选择自己最佳的节奏模式。

当今 400 米栏间节奏大概有三种: 1) 单数步跑法[13, 15, 17]; 2) 双数步跑法[14, 16, 18]; 这种跑法运动员要两腿轮换起跨, 要求运动员必须掌握两腿交换的过栏技术; 3) 单双数混合步法[13, 14, 15]; 这种跑法要求运动有较高的训练水平和两腿交替过栏技术。运动员要根据自身的特点来选择合适的栏间跑节奏模式。任何运动员都有自己较为稳定的步长, 运动员稳定的步长就为栏间跑节奏提供了依据, 由于个体素质等因素造成的差异, 运动员对栏间跑节奏的选择也各有不同, 例如赫默利和摩西这两位世界名将选择的是单数步跑法。赫默利是 1-6 栏用 13 步, 6—10 栏用 15 步过栏; 而摩西全程选择用 13 步过栏。而凯文·杨选择的却是单双混合步跑法, 身高 1.93m 的他用 13 步跑完全程并不算难, 但是他却在 1-3 栏用 13 步, 3-5 栏采用 12 步, 5-10 栏采用 13 步, 这样他就比摩西省出好几步的时间; 而中国跨栏名将扬宪军, 身高只有 1.80m 的他用 13 步跑 35m 相对而言很难, 所以他选择用前 4 个栏跑 14 步后 5 个栏 15 步的跑法, 但这一跑法需要运动员有很熟练的双腿交替攻栏技术以此来提高运动成绩; 原苏联女子 400m 栏运动员费先科比赛时全程栏间选择用 17 步, 比赛用时 54.14s, 她完成全程需要用 207—208 步, 这样她就不可能变化步幅了, 要想突破 54s 只能用高步频。如果她选择用栏间 15 步的方法, 全程用 176—180 步跑完就可以提高运动成绩了。但这种结构只适用于身体较高的运动员。为实现最佳的节奏模式运动员应根据自身条件、身体素质, 跨栏步技术熟练程度和训练能力, 设计各年度的 400 米栏的栏间节奏模式, 向最佳

栏间节奏模式过度。例如：前世界纪录创造者摩西，采用 13 步跑全程栏间的节奏，创 47.02 秒的世界纪录。随后，他曾多次尝试 12 步跑前 7 个栏间和 13 步跑后 2 个栏间的混合节奏，都未创新纪录（见表 1）。前世界纪录创造者 M·斯捷潘诺娃,1979 年采用 17 步跑全程栏的节奏，创世界纪录，时隔 9 年她用 15 步跑完全程栏的节奏，创 52.94 秒的世界纪录（见表 1）。上述事例说明，摩西用 13 步跑栏间的节奏和 M·斯捷潘诺娃用 15 步跑全程栏间的节奏，是他们的最佳栏间节奏模式。

表 1 摩西、M·斯捷潘诺娃的 400 米栏栏间节奏模式

姓名	起跑至				各 栏 间 步 数								总 步 数	400 米 栏 (S)
	年度	1 栏步	2	3	4	5	6	7	8	9	10	10 栏至		
	(年)	数										终点		
摩西	1983	19	13	<u>13</u>	<u>13</u>	<u>13</u>	<u>13</u>	<u>13</u>	<u>13</u>	<u>13</u>	<u>13</u>	16	152	47.02
	1987	19	12	<u>12</u>	<u>12</u>	<u>12</u>	<u>12</u>	<u>12</u>	<u>12</u>	<u>13</u>	<u>13</u>	16	145	47.46
M·斯捷	1979	24	17	<u>17</u>	<u>17</u>	<u>17</u>	<u>17</u>	<u>17</u>	<u>17</u>	<u>17</u>	<u>17</u>	22	199	54.78
潘诺娃	1986.8	23	15	<u>15</u>	<u>15</u>	<u>15</u>	<u>15</u>	<u>15</u>	<u>15</u>	<u>15</u>	<u>17</u>	21	183	53.32
	1986.9	23	15	<u>15</u>	<u>15</u>	<u>15</u>	<u>15</u>	<u>15</u>	<u>15</u>	<u>15</u>	<u>15</u>	21	179	52.94

从表 2 中可以看到，只有随着运动员训练年限的增加，训练水平的提高，400 米栏的成绩才会逐年提高，并且大多运动员的栏间步都在不同程度的减少。这说明：运动员为提高训练水平的需要不断变化着栏间步数的结构，当运动员的栏间步数与其训练水平相符合时，才能发挥运动员的潜能，不断提高运动成绩。运动员要想取得成功的栏间模式，就需要根据其身高和先天条件，以及后天的步幅情况，对运动员采用各种不同栏间步的优劣进行分析和评判。

表 2 我国女子 400 米栏全国纪录的运动员比赛中

所用的栏间步数与运动成绩的变化情况

姓名	年度 (年)	各栏间跑的详细步数	栏间 步数	成绩	名次
韩青	1990	23 15 15 15 15 15 17 17 17 18 18	170	56.53	全国第三
	1993	23 15 15 15 15 15 15 17 17 17	164	53.96	亚洲纪录
陈菊英	1987	23 15 15 15 15 15 17 17 17 17	166	56.78	全国纪录
	1990	23 15 15 15 15 15 15 15 17 17	162	55.12	亚洲纪录
	1987	24 17 17 17 17 17 17 17 18 18	179	57.82	
陈冬梅	1988	23 17 17 17 17 17 17 17 17 17	176	56.7	全国纪录
	1990	23 16 16 16 16 17 17 17 17 17	172	55.68	亚运会亚军
	1990	23 17 17 17 17 17 17 17 17 17	176	57.97	亚青赛冠军
冷雪艳	1992	23 16 16 16 16 17 17 17 17 17	172	56.40	全国第二
	1993	23 16 16 16 16 16 16 16 16 17	168	54.52	亚运会冠军
李秀梅	1986	24 17 17 17 17 17 17 17 17 18	179	58.89	
	1993	23 16 16 16 16 16 17 17 17 17	171	56.64	全国第二



有专家认为同一运动员的步频、步幅在 400m 栏和 400m 的比赛中也存在差异。跨栏跑运动员要想达到最佳速度和保持合理的结构,除在跨栏跑过程中的攻栏、腾空、落地要做出准确及时的判断外,还需要对步频、步幅做出适时的判断。让 400m 栏运动员用 15 步栏间跑结构来竭力跑 400m,要求跑的过程中要具有较高的弹性,较低步率,他的用时比一般平跑要慢 2-3s 或 2-4s。一般优秀运动员在 2-3s 之间,次之最慢也在 4s 以内。所以,400m 栏提高成绩最主要的因素就是要具有流畅的节奏。运动员在跨栏跑的过程中,要具有良好的节奏感,尽可能的保持水平速度,熟练掌握双腿交替的跨栏技术来提高运动成绩。

400m 栏比赛的优胜者往往不是那些跑的最快的运动员。而是那些在整个比赛中能有效的控制和变换节奏及保持跨栏跑动量的运动员。栏间跑中出现的“大跨步”或“小碎步”,都会破坏运动员固有的节奏及向前的动量(或跑速)。前苏联的华西里耶夫在论文答辩中指出:由于 400m 栏技术的复杂性,要求学会正确计算栏间段落的动作。通过对各种水平跨栏运动员的考察分析,高水平运动员下栏后的节奏,能一直维持到下一个栏;像低水平运动员在栏前几步一般都要重新调整步子。也就是说栏前调整步子会影响运动员原有的节奏和速度,这就需要运动员提高对栏间跑节奏的控制能力。因此,400m 栏运动员应该有计划的进行栏间跑节奏的练习,以便在比赛中能较好的发挥水平,创造好成绩。

罗伯特于 1987 年著的《关于 B 级女子青少年采用 300m 跨栏的提示》一书中,他鼓励青少年运动员采用 300m 栏跑练习,并且为他们介绍了各种节奏跑的栏间距离。为使青少年运动员将来能在 400m 栏比赛中取得好的成绩,在改善成绩结构的训练过程中,必须要安排一定的跨栏练习量。格罗斯等人认为,有才能的运动员单单在跨栏训练中就要完成跨 5000 个栏架的量。只有完成这一训练量,运动员才可能树立起足够的信心,并且做到任何时候都不紧张,而杨奈克(1989 年)认为,要是跨栏技术娴熟稳定,动员需完成跨越 8000~20000 个栏架的练习量,其他专家也支持他的看法。

如果认为跨栏运动员不一定要完成这样大的跨栏量,那么显然,根据这种观点所安排的技术训练时间就不会很足,然后运动员还要在专项训练时进行技术方面的补课。

从上述资料看来,在运动员训练的实践中,就要定期的经常的进行大量跨栏架的训练,这样的训练是为了让运动员形成节奏感和距离感,以至于在节奏变换时不降低跨栏质量,以及完善跨栏技术,即使以后在疲劳状态下也能不断的适应素质方面的变化和调整跨栏技术。

因此,在整个准备阶段的各种跑的练习,其栏间距离都有多种变化,而且在室内训练中变换步子节奏(如 7 步节奏的步长 16.5m,相当于 15 步节奏的 35m)。跨栏速度的提高和跨栏动作的稳定性只有通过定期的跨栏训练,即贯穿这个年度的训练才能实现。我认为只有通过定期的训练,运动员才能对 400m 栏的专项栏间节奏产生适应现象。

经验表明,仅重视改善平跑能力,而只是偶而进行跨栏跑练习,这样不一定能提高 400m 栏成绩,因为在高速平跑过程中,对节奏和跑的技术要求会有很大的变化,运动员只有不断的对节奏和跑的技术进行相互的适应才能使较高的平跑速度发挥作用。比赛结构和经验证明,运动员的各种能力有必要在专项条件下得以改善,为了完成这一目的,必须把跨栏技术训练贯穿于素质训练的始终,只有这样才能最好的达到 400m 栏的比赛要求;随着 400m 栏成绩的不提高,应逐渐完善栏间跑的节奏模式,促进成绩的提高;400m 栏运动员应根据个人的特点和训练水平选择适合自己的最佳栏间跑节奏模式,创造最佳成绩。

## 4. 结论与建议

4.1 减少栏间步数和提高栏间步频,是提高 400 米栏成绩的重要手段。

4.2 运动员应根据个人的特点和训练水平选择的最佳栏间跑节奏模式。

4.3 建议教练员重视对运动员的栏间节奏的训练,并容入到年度训练和多年训练计中。

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## Study on the Influence of Core Strength on the Quality of Sanda Turn around Training

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**Keywords:** Core strength; Sanda; Turn technology.

**Abstract.** Wushu is a treasure of China, martial arts and martial arts and martial arts into, one is able to show, one is used for actual combat, but before the name of martial arts known as Sanshou, it from life and labor for generations, survival and struggle began to form, then the action of Sanda the fist, leg and throw it into three parts, and turned to technology action, is relatively the main technical movement Sanda technology, how to learn about the technique of action in the game play is relatively perfect, in addition to the field of psychological quality, then the rest of just how effective training to improve the technical training of the is inseparable.

## 核心力量对散打转身技术训练质量影响的研究

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**关键词:**核心力量; 散打; 转身技术

**中文摘要.** 中国武术是中国的一块瑰宝, 而武术分成武术套路和武术散打, 一个是能表演, 一个是用于实战, 而武术散打这个名称以前称为散手, 它从祖祖辈辈的生活与劳动, 生存与斗争中开始形成, 那么散打技术动作当中由拳、腿、摔这三大组成部分, 而转身技术动作, 也是散打技术中相对主要的技术动作, 如何将自己所学的转身技术动作在比赛中发挥的相对完美, 除了场上的心理素质, 那么剩下的就跟训练时如何有效的提高训练技术是密不可分的。

### 1. 前言

武术是中国的一块瑰宝, 它分成武术套路和武术散打, 武术散打是现代诸多搏击项目中的其中一项, 而武术散打这个名称以前称为散手, 它从祖祖辈辈的生活与劳动, 生存与斗争中形成, 那么在当今散打实战的过程当中, 技术动作就变得尤为重要, 而转身技术动作, 也是散打技术中相对重要的技术动作, 但是相比直线动作还是运用的不够多, 但如果在比赛中发挥的相对完美, 除了场上的心理素质, 那么剩下的就跟训练时提高技术质量是密不可分的。而现在转身技术动作不仅只是在散打比赛中出现, 在很多种格斗形式的比赛场上, 如美国的

UFC 综合格斗、泰拳、自由搏击、空手道等比赛中也会时有出现，除了对抗，转身技术动作对心理也有一定的要求，因为在身体旋转过程中，是有几秒或者几毫秒的时间是看不到对方的，在这个时间段里对手完全可以进行击打性动作，所以对于运动员来说是要具备种种的条件才能做出相对完美技术动作。而要想使转身技术动作击打的相对完美，核心力量是提高转身技术动作质量的一个重点，要让运动员或者一个业余的练习者在训练转身技术动作的同时，知道运用的是哪一块肌肉，这样也会加快动作的熟练度，不能只是简单的在重复中吸取经验，而且在高水平的比赛中运用核心力量对于提高运动员竞技能力就显得更加重要。

2. 研究对象与研究方法

2.1 研究对象

本文以首都体育学院民体 2013、2014 级散打专业学员为研究对象，进行研究。

2.2 研究方法

2.2.1 录像观察法

观看国内外散打运动员比赛视频，研究在散打比赛中转身技术动作出现的次数，从中得出转身动作在当今比赛中的应用效果。

2.2.2 文献资料法

通过大量的文献、书籍、和相关的文件，借鉴前人所研究出来的成功理论，进行研究。

2.2.3 问卷调查法

本研究发放调查问卷51份，收回51份，有效问卷51分，问卷回收率100%。

3. 结果与分析

3.1 运动员提高核心力量对转身动作好处的分析

3.1.1 身体核心位置训练的分析

表 1 24 天“提拉”考核表		
	男 22 岁 体重 76KG 身高 178	女 20 岁 体重 58KG 身高 168
2015.12.1 初测	70KG	20KG
2015.12.4	75KG	25KG
2015.12.11	80KG	30KG
2015.12.18	85KG	35KG
2015.12.25	87KG	40KG

在搏击运动项目中尤其像散打这样高强度类别的项目中，核心力量是一个运动员较为重要的部位，身体的核心区域以腰部、髋关节、肩轴部以及腹肌和背肌为主要部位，总体在身体的上半部分，对于核心力量的训练，分为无器械训练模式和有器械训练模式。表 1 中是为期 24 天的核心力量练习记录，通过一个星期有两节课再加上自己的练习，在每个星期的最后一节课都会以杠铃“提拉”重量为考核内容，“提拉”主要的发力位置在腰部也就是核心，为期 24 天训练中主要是以核心力量训练为主要训练内容，从第一次的初测开始到最后结束，每一个星期都会有 5KG 的增长，所以有规律性的练习就能快速的的增长核心力量。

3.1.2 核心力量对转身技术动作身体协调能力的分析

作为一名散打练习者，如果做技术动作时只有力量或者速度是不行的，而身体的协调性也是占据技术动作的一部分，那么不光是身体的大肌肉与小肌肉群，协调性很大程度上取决于核心区力量的大小，核心部位的受力情况决定了人体重心的平衡状态，重心的动态平衡能够使上下肢的力量有效传递，提高躯干中心的稳定性和灵活性，进而增加身体的协调性。所以在

做转身技术动作的过程中，身体的协调能力是很重要的，如果在高度紧张的比赛 中，无法把动作做出相对完美的效果，那么就要注重自己的协调能力，因为转身技术动作其中一个技术难点就是转身，在身体主动旋转后能快速准确的找到目标，并能击打出最出色的效果才是重点。

3.1.3 转身技术动作主要发力位置的分析

散打运动中的转身技术动作的发力，一般来说核心部位也就是人体的中心部分，在脊椎轴、髋关节、肩关节区域，包括骨盆肌肉、腹部肌肉和背部肌肉在内的所有肌肉。无论是速度快的鞭拳，还是幅度大的转身后摆，在动作启动的一瞬间都是先以腰的蓄力为主要部分也就是核心力量，以转身鞭拳的动作要领举例：在鞭拳中转身要快，右腿插步要快以腰的力量带动胳膊，然后在有效的击打目标，这是转身鞭拳的技术动作要领，从要领中可以看出以腰为中心带动上身，所以上身的力量再大也不能击打出最出色的效果，而相对于下身的发力，也没有腰的发力重要，下身的发力是完成转身击打动作联动杆的作用，所以转身技术动作的发力来自于腰部。

3.2 中国武林风散打比赛

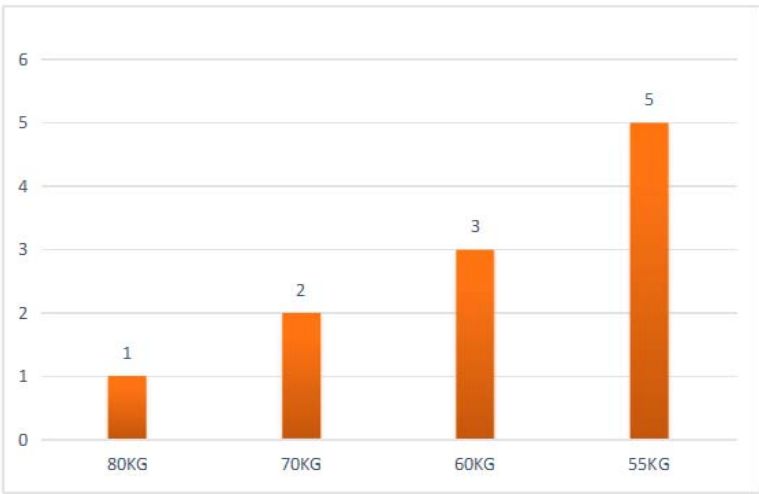


图 1 10 场比赛观看记录

从图 1 的条形图走向趋势可以看出，级别越小而出现转身技术动作的次数就会越多，这也肯定了转身技术动作对于灵活性的苛刻要求，所以在当今的比赛中有更多的小级别运动员使用转身技术动作，而在训练中小级别更应该注重转身技术动作的训练，这样才能在比赛中以出其不意的方式赢得比赛，但同时大级别运动员也可以运用转身技术动作，虽速度会比小级别的慢，但是力量要比小级别运动员大，这样就会有几率以较大的优势获胜，所以转身技术动作应该受到重视。

3.3 调查问卷调查结果的分析

在表 2 中，队员们自己很注重转身技术动作的练习，但是有一部分人在比赛中应用却很少，主要还是在紧张激烈的赛场上不敢运用，也是对自己转身动作的不自信，随后就会影响的在训练中的质量，所以在训练的时候教练员主要还是应该注重方法，在表格中还有绝大部分人对游戏训练法有更高的支持，同时队员们对腰部的核心更为注重，但是在转身技术的选择上队员们还是对较为简单转身鞭拳更喜欢，因此得出转身技术动作要想练出质量，还是多练习核心力量。

表 2 首都体育学院 2013、2014 级散打班调查问卷

问题	使用	一般	不使用
以您现在的散打技术使用转身技术动作	40 人	6 人	5 人
自己主动练习转身动作	35 人	10 人	6 人
比赛中应用转身技术动作	20 人	25 人	6 人
	是	不是	不确定
提高转身技术动作是提高核心力量	40 人	5 人	6 人
训练中是否应该增加转身技术动作的训练强度	45 人	2 人	4 人
转身技术动作的发力位置就是核心	40 人	9 人	2 人
训练中是否应该以游戏的方式进行训练	46 人	4 人	1 人
	腰肌	腹部肌肉	背部肌
转技术动作应该训练哪块肌肉	45 人	5 人	1 人
	转身鞭拳	转身后蹬腿	转身后摆腿
认为自己最得意的转身技术动作	38 人	8 人	5 人
	游戏法	简单重复	不知道
您在训练新的技术动作,使动作的得到肌肉记忆的方法	44 人	5 人	2 人

#### 4. 结论

**4.1** 在训练转身技术动作的过程中应该主要提高核心力量的训练,因为在散打的技术当中,转身技术动作相对要比起其他技术动作要难,需要的训练因素就会居多,力量和协调性的练习是最为重要的。

**4.2** 在力量练习的方面主要是以器械为主兼顾无器械训练,使得肌肉因大力量的练习而增长因小力量维持而协调,而且还要熟练掌握技术动作要领,这样才能做出最漂亮的动作,得到最完美的击打效果。

**4.3** 在职业散打比赛中,出现转身动作的次数随着级别的减少而增加,由此可以得出小级别能够灵活的运用转身技术动作,大级别出现转身动作相对要少,所以在训练中小级别应当注重转身动作的训练。

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## Analysis on Physical Training Activity of Junior and Senior College Students in Shaanxi

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**Keywords:** Junior and Senior college students; Physical training; Intervention measure.

**Abstract.** The author investigated the status of college students in Shaanxi. The subjects are categorized into: the effective-training group, the participant group and the non-training group. And there are striking differences in sex among students; Due to their perspective behavior stages, the three groups differ a lot in needs, motivation, lore and effect of physical training. The result also indicates that the divergence of student physical training behavior does not directly stem from quality and quantity of facilities and playgrounds. Testing and evaluation system produce more positive influence among non-training group compared with the other two groups. “Self-fulfillment” and other inner motivation affect the effective and common-training group greatly. Students major and hobbies also play roles in their physical training. The three groups differ greatly in their influence from different people. Based on the above research, the author put forward relative intervention strategies which may serve as reference for college physical education practitioners.

## 陕西省高年级大学生体育锻炼行为现状及其干预措施研究

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**关键词:** 高年级大学生; 体育锻炼行为; 干预措施

**中文摘要.** 通过对陕西省高年级大学生的体育锻炼行为现状及其影响因素的调查, 结果表明: 根据锻炼频率、锻炼强度以及每次锻炼时间三个方面综合衡量, 可以把大学生分为有效锻炼者、一般锻炼者和无锻炼者三个群体; 高年级大学生体育锻炼行为的性别差异极其显著; 高年级大学生的锻炼程度与体育需要、体育动机、体育知识及运动后感受呈正相关关系; 体育考试和体育达标对无锻炼者的体育锻炼行为所产生的正面影响程度明显大于另外两个群体; “体现自我”等内部激励对有效锻炼者和一般锻炼者有较大的影响。学业和其它兴趣爱好对体育锻炼行为也有较大的影响; 三个群体受不同人物的影响程度各不相同, 差异明显。基于



此,针对三种不同群体提出干预措施,从体育知识普及、成立健康咨询机构、创造体育锻炼氛围和组织比赛等措施,改善学生体育锻炼行为。

随着我国素质教育的全面推进,“健康第一”思想在学校的逐步落实,终身体育理念的普及以及《全民健身计划纲要》的贯彻实施,“培养学生良好的体育锻炼习惯”这一学校体育教育的基本任务的重要地位日益突显出来。高等教育阶段的体育教育是一个人一生中接受系统的体育教育的重要阶段,是与社会体育教育衔接的关键环节。一方面,多数高年级大学生缺少体育课考试制度的约束,另一方面缺少有组织的课外体育活动,再加上网络的极大普及,参加锻炼的学生更少,使得高年级大学生的体质状况下降迅速。鉴于此,为了改变这种状况,提高他们的身体素质,改善生活质量,了解目前高年级大学生目前体育锻炼行为的现状,分析影响他们体育锻炼行为的因素,就具有重要的理论与实践意义。

### 1. 研究对象

以普通高校全日制大学生作为研究对象,抽取不同性质和类型的十五所高校的 2600 名大学生作为样本。调查共计发放问卷 2600 份,回收 2445 份,回收率为 94%,剔除无效 645 份,有效调查问卷共 1800 份,有效率为 73.6%。在有效的 1800 名调查对象中,男生有 1028 人,占总数的 57.1%,女生有 772 人,占总数的 42.9%;三年级学生 1221 人,占总数的 67.8%,四年级学生 579 人,占总数的 32.2%。

### 2. 研究方法

#### 2.1 文献资料法

查阅国内体育类期刊、电子数据库等相关文献资料,了解目前我国大学生体育锻炼行为的研究现状和动态。

#### 2.2 问卷调查法

该调查问卷包括如下几个方面的内容:调查对象的基本情况、体育锻炼情况、体育认知和影响体育锻炼行为的因素几个方面。问卷通过专家德尔菲法进行检验,剔除相关度低的指标,删除了与研究无关的问题,确定了最终的调查问卷。通过预调查和再测法,在第一次调查结束后的一周,在回收的问卷中又随机抽取了 50%进行第二次问卷调查。结果表明,两次回答之间的相关系数  $R=0.852$ ,高度相关( $P<0.01$ )调查结果可信。

#### 2.3 数理统计法

运用 Spss16.0 对原始统计数据进行统计分析,数据处理采用 t 检验或 F 检验,以  $P<0.05$  表示差异有统计学意义。

### 3. 研究结果与分析

本文将调查对象分为三类,即有效锻炼者、一般锻炼者和无锻炼者。每周锻炼频度 3 次以上,每次锻炼时间 30 分钟以上,每次活动主观锻炼强度达到中等或中等强度以上的学生称为“有效锻炼者”,而将锻炼频率、锻炼强度、每次锻炼时间三个方面不符合上述量化指标标准但参加体育锻炼的学生称为“一般锻炼者”,把不参加体育锻炼的学生称为“无锻炼者”。

#### 3.1 高年级大学生体育锻炼行为的现状

##### 3.1.1 体育锻炼的频度

调查结果指出,每周锻炼 3 次以下的学生占调查总人数的 77.61%,其中每周锻炼次数不

足 1 次的占 54.2%；每周锻炼 3 次以上的学生占调查总人数的 13.6%；完全不参加的锻炼的学生占调查总人数的 8.8%。其中女生的锻炼次数明显少于男生 ( $P<0.01$ )。从年级看，不同年级学生的锻炼频度并没有显著差异。随年级的增长，高年级大学生体育锻炼的频度并没有显著的改变。但是，随着年级的增长，参加体育锻炼的频度男生出现下降，而女生出现上升的趋势。

表 1 高年级大学生每周体育锻炼的频度 (%)

	男			女			总计
	合计	三年级	四年级	合计	三年级	四年级	
完全不参加	6.4	6.3	6.5	12.0	12.5	11.1	8.8
每周不足 1 次	50.2	48.0	54.8	59.5	60.5	57.2	54.2
每周 3 次以下	27.5	29.5	23.5	18.0	17.4	19.3	23.4
每周 3 次以上	15.9	16.2	15.2	10.5	9.6	12.4	13.6
合计	100.00	100.00	100.00	100.00	100.00	100.00	100.00

注：性别差异检验  $X^2=49.198$ ,  $P<0.01$ ；年级差异检验  $X^2=1.695$ ,  $P>0.05$

3.1.2 体育锻炼的时间

通过对学生每周参加体育锻炼的次数和每次锻炼的时间的调查，结果表明，每周偶尔锻炼或参加一次锻炼，每次锻炼时间不足 30 分钟的学生占调查总人数的 24.78%，每周锻炼二次或三次，30 分钟~1 小时之间的学生占调查总人数的 59.67%，每周锻炼二次或三次，1 小时以上的学生占调查总人数的 15.55%。经差异检验，结果显示女生的活动时间明显短于男生 ( $P<0.01$ )，但女生随年级的增长体育锻炼时间处于增长趋势 ( $P<0.05$ )，说明男女大学生在健康状况和体型感觉方面存在差异，到达高年级以后，女生更加注重自己的体型。

表 2 高年级大学生平均每次锻炼的时间 (%)

	男			女			总计
	合计	三年级	四年级	合计	三年级	四年级	
30 分钟以下	17.70	16.62	19.94	34.20	37.05	27.98	24.78
30 分钟~1 小时	59.34	59.10	59.82	60.10	56.71	67.49	59.67
1 小时以上	22.96	24.28	20.24	5.70	6.24	4.53	15.55
合计	100.00	100.00	100.00	100.00	100.00	100.00	100.00

注：性别差异检验  $X^2=132.859$ ,  $P<0.01$ ；年级差异检验男生  $X^2=3.037$ ,  $P>0.05$ ，女生  $X^2=8.078$ ,  $P<0.05$ 。

3.1.3 体育锻炼的强度

每次体育锻炼轻度及以下锻炼强度的学生占调查总人数的 19.44%，体育锻炼达到中等强度的学生占调查总人数的 33.62%，体育锻炼达到大强度及以上锻炼强度的学生占调查总人数的 46.94%。差异检验的结果表明，女生每次体育锻炼的强度明显低于男生 ( $P<0.01$ )，同时随着年级的增长高年级大学生锻炼强度呈逐年下降的趋势 ( $P<0.05$ ) 这种差异一方面是由于男女性别文化差异所导致，另一方面，跟男女生生理和体能也有一定的关系，

表 3 高年级大学生平均每次锻炼的强度 (%)

	男	女	三年级	四年级	总计
极轻度（没什么感觉）	3.79	6.87	4.26	6.90	5.11
轻度（全身微发热）	10.99	18.78	13.68	15.72	14.33
中等强度（微微出汗）	25.78	44.04	32.76	35.41	33.62
大强度（内衣有湿印）	27.33	19.56	24.24	23.49	24.00
极大强度（衣服全湿透）	32.10	10.75	25.06	18.48	22.94
合计	100.00	100.00	100	100	100.00

注：性别差异检验  $X^2=169.253$ ,  $P<0.01$ ；年级差异检验  $X^2=14.860$ ,  $P<0.05$ 。

### 3.2 影响高年级大学生体育锻炼行为的因素

#### 3.2.1 体育动机

体育动机是促进一个人参与体育活动的内部动因，它是个体的内在过程。它具有使行为以一定强度在活动中保持的特性。如何使体育需要与外部诱因互动形成体育动机，从而使潜在的需要转化为外显的行动是提高学生体育锻炼积极性的关键，同时也是体育锻炼习惯形成的有效保证。MPAM-R 量表的 5 个分量表分别测量了锻炼者希望通过身体锻炼获得健康、享受运动中的快乐、提高能力、增进社会交往和改善体形外貌的动机，即内部动机。通过单因素方差分析，三个群体的体育锻炼的内部动机强度均存在显著的差异 ( $P<0.01$ )，有效锻炼者的锻炼动机强度最大，一般锻炼者次之，无锻炼者最小。结果表明，锻炼动机与锻炼行为之间为呈正相关关系。在一定的范围内，锻炼动机越强的锻炼者的锻炼频率越高，每次锻炼时间会越长，每次锻炼的运动量也越大。

#### 3.2.2 体育需要

需要是主导人们行为的一种意识形态，体育需要是人们在生活中渴望获得体育效用的心理状态，它是人们从事体育活动的初始动因。通过对有效锻炼者、一般锻炼者和无锻炼者三个群体在闲暇时间对上网、打游戏、睡觉、看书上自习、参加体育活动、找朋友聊天、干脆闲着等 7 种需要的欲求程度情况来看，三个群体体育需求的欲求程度两两间均存在显著差异 ( $P<0.01$ )，且欲求程度随锻炼程度的提高而增长，说明体育需要强度与锻炼的程度呈正相关关系，无锻炼者对体育活动的欲望较低是他们不经常参加锻炼的原因，而有效锻炼者之所以经常进行体育锻炼与其内部对体育的强烈需求有关。

表 4 高年级大学生在闲暇时间的各种欲求程度

	无锻炼者	一般锻炼者	有效锻炼者	总体平均值	F	P
上网	4.44	3.87	3.68	3.90	7.466	0.001
打游戏	3.11	2.84	2.98	2.88	1.636	0.195
睡觉	4.19	3.63	3.40	3.66	8.198	0.000
看书、上自习	4.14	4.13	3.75	4.09	3.920	0.020
参加体育活动	2.79	3.94	4.96	3.95	68.777	0.000
找朋友聊天	3.87	3.91	4.04	3.92	0.559	0.572
干脆闲着	3.07	2.96	2.54	2.93	4.993	0.007

#### 3.2.3 体育知识

体育知识是指与体育锻炼有关的知识。知识是形成态度和信念的基础和前提，也是引起行为变化的必要条件。因此如果人们参加体育锻炼主要是为了保持或增进健康的话，那么对身体活动的健康益处的知识和信念则可能影响到人们的行为。调查结果显示，有效锻炼者体育知识的知晓率为 93.3%，一般锻炼者为 83.9%，无锻炼者为 63.5%。有效锻炼者对科学的进行体育活动知识的掌握程度明显优于另外两个群体，一般锻炼者则优于无锻炼者 ( $P<0.01$ )。同时对身体健康重要性的认识情况，调查统计的结果显示，三个群体存在显著差异 ( $P<0.01$ )。反映出体育知识了解越多的学生，参与体育锻炼程度越高，体育锻炼知识越丰富的人越有可能坚持体育锻炼，体育知识的知晓与锻炼程度呈正相关关系。

#### 3.2.4 运动体验

体育运动后感受是对体育运动后果的反馈，是个体在体育锻炼后对身体舒适（疼痛）情况的感受。如果体育锻炼后，感觉精力充沛，精神焕发，就会产生良性的体验，从而可能促使锻炼者坚持参与体育锻炼，而坚持参与体育锻炼，又会产生良好的体育运动后果感受，由此形成良性循环，形成良好的体育习惯。结果显示，三个群体存在显著差异 ( $P<0.01$ )。以精神焕发、浑身轻松、没什么感觉为良性体验，略感疲劳、局部疼痛、全身酸痛为不良体验，有效锻炼者有良性体验的学生占调查人数的比例为 58.03%，一般锻炼者的比例为 48.41%，无锻炼者的比例为 35.85%。有效锻炼者的运动后果感受的分布更趋向良性的体验，无锻炼者

则更趋向不良的体验。从性别看，女生体育运动后果感受为不良体验的比例明显高于男生。

表 5 体育运动后感受的调查（%）

	无锻炼者			一般锻炼者			有效锻炼者			总计
	合计	男生	女生	合计	男生	女生	合计	男生	女生	
精神焕发	5.66	12.12	1.08	10.84	10.79	10.91	16.06	13.87	21.43	10.94
浑身轻松	15.72	16.67	15.05	16.78	18.42	14.61	18.65	18.98	17.86	16.89
没什么感觉	14.47	12.12	16.13	20.79	22.55	18.46	23.32	24.09	21.43	20.50
略感疲劳	18.87	21.21	17.20	27.42	30.18	23.76	32.64	34.31	28.57	27.22
局部疼痛	28.93	21.21	34.41	19.13	14.18	25.68	6.22	5.84	7.14	18.61
全身酸痛	16.35	16.67	16.13	5.04	3.88	6.58	3.11	2.92	3.57	5.83
合计	100	100	100	100	100	100	100	100	100	100

注：分类差异检验  $X^2=78.399$ ,  $P<0.01$ ；性别差异检验  $X^2=53.832$ ,  $P<0.01$ ；分类、性别差异检验无锻炼者  $X^2=11.473$ ,  $P<0.05$ ，一般锻炼者  $X^2=40.967$ ,  $P<0.01$ ，有效锻炼者  $X^2=2.125$ ,  $P>0.05$ 。

3.2.5 场地器材

在调查问卷使用了 3 种不同的提问方法要求学生场地器材对体育锻炼的影响程度进行评价。第一种提问：优良的场地器材对您现在参加体育锻炼产生积极影响的程度？第二种提问：如果您一直坚持锻炼，周围有良好的体育设施对您的影响程度如何？第三种提问：如果您不经常锻炼或中断锻炼了，学校体育设施太差太少对您的影响程度如何。结果表明，场地器材的优劣，对三个群体的学生进行体育锻炼的影响程度并没有显著的差异，可以认为学生体育锻炼行为上的差异与场地器材的优劣并没有直接的因果关系，所以并不是场地器材越好，学生的锻炼就越积极。

3.2.6 体育教学课程设置

调查中显示，体育考试和体育达标对高年级大学生中有效锻炼者、一般锻炼者、无锻炼者体育锻炼的影响存在明显差异，无锻炼者的受影响程度最大，一般锻炼者次之，有效锻炼者最次。

4. 高年级大学生体育锻炼行为的干预措施探索

4.1 对于无锻炼者而言，可以加大宣传，通过健康讲座、网络演示、举办体育健身知识竞赛及健身方法展示会来大力宣传体育锻炼的有关知识，明确坚持运动对健康的益处，了解运动中应注意的问题，以及不运动对身体的危害和危害的程度，使其对自己的身体状况产生危机感，认识到身体健康的重要性。树立正确的健康观，帮助建立参与体育锻炼的自信心。

4.2 一般锻炼者群体是学校当中的大多数，是应当最受关注的群体，如果干预有效，他们会逐渐成为有效锻炼者。对于这样一个群体，可以通过成立体育爱好者俱乐部，使具有相同爱好的锻炼者有一个共同交流提高的“圈子”，形成一个有组织的、健康积极的氛围，使其在体育锻炼的过程中更多的体验到锻炼带来的好处，体验到快乐。

4.3 根据对有效锻炼者群体体育锻炼行为特点的分析可以发现，改变其体育锻炼行为重点在于如何维持其有规律的锻炼行为。通过各种途径和方法，进一步提高他们在体育运动上的知识和技能水平，使其保持优越感和自信心。

5. 结论与建议

5.1 对无锻炼者群体采取宣传健康知识、树立科学健康的体育价值观、建立参与体育锻炼的自信心、科学指导体育锻炼行为、加强体育制度的约束性等干预措施；对一般锻炼者群体采取成立体育爱好者俱乐部、宣传科学锻炼知识、激发体育锻炼的兴趣、加强指导和教育高年级大学生合理安排作息时间等干预措施；对有效锻炼者群体采取加强单项运动技能的培训和指导、创造体育竞争和对抗的机会、加强对运动损伤的预防等干预措施。

**5.2** 造成学生体育锻炼行为上的差异与场地器材的多少优劣并没有直接的因果关系，但场地器材的缺乏是事实，场地器材的需求与供给矛盾依然存在。在影响体育锻炼的场地器材因素方面，主要应采取科学调整体育教学时间、提高体育场馆的夜间使用率、因地制宜开辟群众健身广场、新建部分新兴体育项目场馆等干预措施。

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## **Chapter 6:**

### **Economy and Law**



# The Analysis of the Interaction of Religion and Law in Islamic Countries

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**Keywords:** Religion and law; Doctrines of Islam; Islamic law.

**Abstract.** Religion and law, though differed in their contents can be regarded as two very basic means to regulate the society. However, they does carry some related properties in terms of their ideal, value and forms. In Islamic countries, Islamic doctrines and its laws with some difference share the same origin and the same structure. This is especially true when it comes to caesaropapism countries, because in those countries religious social power has tangled with states, and its doctrines usually equals national law.

## 论伊斯兰教国家宗教与法律的互动

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**关键词:** 宗教与法律; 伊斯兰教义; 伊斯兰法

**中文摘要.** 宗教与法律作为社会治理的两种基本方式, 尽管其调整内容和方式有所不同, 但是它们所追求的理念与价值以及表现形式有某些共同属性和关系。在伊斯兰教国家里, 伊斯兰教义与伊斯兰法不仅具有某些同构性、同源性和同质性特征, 而且具有异形性和差异性。尤其是, 尽管伊斯兰教对自身的管理权力和宗教精神对社会的影响力属于社会权力范畴, 然而伊斯兰教的这种社会权力在一些“政教合一”的国家与国家权力合二而一, 其教义等同于国家法律。

### 1. 引言

美国法学家伯尔曼认为, 法律与宗教之间不仅具有同源性和共时性特征, 而且它们之间的互联性具体表现为“法律以其稳定性制约着未来; 宗教则以其神圣观念向所有既存社会结构挑战。……法律赋予宗教以其社会性, 宗教则给予法律以其精神、方向和法律获得尊敬所需要的神圣性。”(Berman, 12) 作为一套理性化的规则体系, 法律只能规范人的外部行为。但



是，每一个人都有其独特意志和思想的存在，其行为必定有着精神上的根源。由此，法律必定与规范人类内心的伦理和宗教有着不可分割的联系，因而宗教与法律之间有着某种“可选择的亲和性”（Elective affinity）。（Treiber: 853）而两者之间的这种关系对于阐释伊斯兰社会规则的独特性都是不可或缺的。

## 2. 作为社会治理方式的伊斯兰法与伊斯兰教义

### 2.1 法律与宗教之同构：伊斯兰法与伊斯兰教义之同源性

法律和宗教的辩证关系在于：宗教可以赋予法律神圣性，让人们对法律程序、惯例和正义保持忠诚；法律赋予了宗教理性与结构，鼓舞宗教建立正当秩序和合法组织。从法律与宗教的构成要素分析，伊斯兰教与伊斯兰法具有同构性特征，即具有共同要素，如宗教仪式——法律程序（司法仪式）、宗教传统（语言、习俗）——法的继承性、宗教权威——法律权威、具有普遍性。同时，法律与宗教相互作用，即宗教对法律尤其是立法能够产生影响，如观念影响：神圣、爱、理性化；立法技术影响：强调对相互矛盾的习惯的分析综合；典籍编纂的影响：教令集——法典编纂；法律推理：求其心（灵魂）——法官的自由心证。

而伊斯兰法与伊斯兰宗教之关系，在马克斯·韦伯看来，从理论上而言，在伊斯兰教的法律生活中，没有任何领域不是神圣的准则挡住了世俗法发展的道路；从实际而言，广泛地吸收了古希腊和罗马法；从官方而言，要求把整个市民法都作为对《古兰经》的阐释或者《古兰经》在习惯法上的进一步发展。（Weber, 148）在伊斯兰教的历史发展上，宗教的传播和发展几乎与教法的确立和发展同步运行。作为教法本体的“沙里阿”又是以伊斯兰教的全部教义为内容，以真主降示的《古兰经》及先知的圣训等为法律渊源的，体系结构与一般法律迥异的宗教法系。由此，伊斯兰法与伊斯兰教义之关系首先表现为同源性和同构性。

首先，作为伊斯兰法的法理基础及首要渊源——《古兰经》。伊斯兰教信徒认为《古兰经》是真主降示给人类的最后一部经典。而被誉为“安拉的法度”、“安拉的定制”的《古兰经》立法博大精深，它不仅规定了伊斯兰教的基本教义和信仰基础，而且是伊斯兰教法最根本的立法依据和最主要的法律渊源以及伊斯兰教的最重要的经典和教法的基础。

其次，作为伊斯兰法的重要渊源——圣训。圣训(al-Hadith al-Nbawi)是先知穆罕默德传教、立教的言行记录。圣训是伊斯兰教仅次于《古兰经》的基本经典，是对《古兰经》基本思想的阐释，也是对伊斯兰教的全部教义、教律、教制、礼仪和道德的全面注释和论述，成为后来各教法学家立法创制的第二渊源和立法依据。

再次，作为伊斯兰法的第三法源——公议。公议(Ijma)阿语音译“伊智玛尔”，即权威教法学家一致性意见或判断，又称“公议”或“决议”。在伊斯兰法中，公议是穆罕默德的直传弟子或权威法学家就某些疑难法律问题所发表的一致意见。公议作为教法第三大渊源，不仅决定对经训原文的选择和释义，也对类比是否有效具有决定意义，为法学家提供了权威的理论根据。总之，伊斯兰教神圣之法是很特殊的“学者之法”，它的适用是建立在“公议”基础上的，“公议”实际上被界定为协调法的先知预言家们即伟大的法学家。（Weber, 150）

最后，作为伊斯兰法的第四法源——类比，中国学者称为“比论”、“援例”。在伊斯兰法中，类比是指比照《古兰经》和圣训的规则处理类似的情况和问题，即法学上的类比判断，是指经过比较推导出结论的一种方法。通常是从一般推出特殊，从已知的前提或因事物间的相似性或本质联系推导出未知的判断或结论。在《古兰经》和圣训无明文规定时，将遇到的新问题依照比较推导等方式得出判断或结论，从而形成新的训例。

总之，伊斯兰法与伊斯兰教之间的关系在于：同源性，即法律与宗教是相互作用、相互影响，伊斯兰法源于伊斯兰教义，具有宗教法的色彩，而伊斯兰法则赋予伊斯兰教的结构和合法组织以正当性和合法性；同构性，即法律与宗教具有相同的构成要素。正如伯尔曼所言：“任何社会，即便是最文明的社会，也有对超验价值的信仰，也有信奉终极目的和关于神圣事

物的共同观念；同样，即便是在最原始的社会，也会有社会秩序的组织与程序，有分配权利义务的既定方式和关于正义的共同观念。社会生活的这两方面处于对立之中：宗教之预言的和神秘的一面与法律之组织的合理的一面正相矛盾。但它们又相互依存，互为条件。任何一种法律制度都与宗教共享某种要素——仪式、传统、权威和普遍性。人们的法律情感依赖于此得以培养和外化，否则，法律将退化为僵死的教条。同样，任何一种宗教内部也都具有法律的要素，没有这些，它就会退化为私人的狂信。”(Berman, 68-69)

## 2.2 法律与宗教之互证：伊斯兰法与伊斯兰教义之同一性和差异性

在一定程度上，法律与宗教具有共时性和互证性，宗教教义作为一种精神信仰是一种共同行为，而法律作为一种社会治理方式也是共同意志的体现。同时，宗教的演进过程与法律的演进过程不仅具有共时性，而且它们之间具有互证性。

就伊斯兰法而言，涵盖自公元7世纪伊斯兰教的传播及统一的阿拉伯国家建立以来的传统沙里亚法及所有以《古兰经》和圣训为基本渊源、体现伊斯兰教义精神和原则的所有伊斯兰国家的法律和制度，是关于伊斯兰教的法律规范的总和。完备而独特的法律体系、历史久远而长青不衰的伊斯兰法系不仅是世界五大法系之一，也是东方三大法系(印度法系、中华法系和伊斯兰法系)中至今唯一仅存的活法系，它向世人昭示了伊斯兰法存在和发展的历史文化背景及法哲学基础。伊斯兰教“认主惟一”的一神论哲学思想，不仅是伊斯兰法的哲学基础和基本纲领，而且是伊斯兰法不同于所有以调整世俗社会关系为基本内容的国家法律及其体系以及其他宗教法律及其体系的重要标志。德国著名学者约瑟夫·夏赫(Joseph Schacht)就伊斯兰法与伊斯兰教的关系指出：“伊斯兰法是伊斯兰学说的缩影，是伊斯兰生活方式的最典型体现，是伊斯兰教本身的精髓和核心。”(何勤华, 157)客观地概括了伊斯兰法与伊斯兰教之间的辩证统一关系。因而从比较法视角概括两者的关系则更能显现伊斯兰法的宗教法性质及其特点。

(1) 伊斯兰法是伊斯兰学说的缩影，是伊斯兰教的核心。《古兰经》和圣训等既是伊斯兰教的经典，又是伊斯兰法的渊源；伊斯兰教的基本教义不仅表现为一系列宗教规范即宗教信仰、宗教义务、戒律以及宗教礼仪、伦理道德规范，也表现为法律规范。由于《古兰经》是伊斯兰法的根本依据，法律的宗旨并非一般的规定世俗社会关系及其权利和义务，而是以宗教的、伦理的和法律的义务作为尺度衡量和规范人的行为，以实现修身律己、虔敬真主、弘扬主道和制恶扬善为目的。

(2) 早期伊斯兰教法学家们确立了《古兰经》、圣训、公议和类比等伊斯兰法的法源，使伊斯兰法系统化，最终发展形成了体系庞大的伊斯兰法系。早期法学家在阐释《古兰经》原则和精神的基础上形成了“经注学”，并使其成为伊斯兰教学的基础，为阐释《古兰经》中的一系列法律原理提供了方法论。而教法学家们充分发掘、广泛收集先知的“逊奈”，使圣训成为教法的又一个重要法源。早期法学家们在先知归真后，安拉启示中止的情况下，依据《古兰经》和圣训，在不违背“安拉是唯一的立法者”和“法度自安拉意志出”的原则，肩负起发展法律和创制法律的重任。随着阿拉伯哈里发帝国疆域的扩大和社会关系的复杂化，出现了大量亟需解决的法律问题。于是法学家们广泛运用意见，推理、类比判断和公议等方法，结合当地习惯对《古兰经》进行阐释、对圣训加以注释，并通过司法实践创立了伊斯兰教特有的“卡迪法庭”，形成了完备的伊斯兰法体系。

总之，从宗教与法律的关系理论而言，伊斯兰法与伊斯兰教义在演进过程中的互证性表现为：一是，伊斯兰教义是伊斯兰法之基础和根本渊源，即伊斯兰法具有特殊的思想基础——伊斯兰教义；二是，伊斯兰法与伊斯兰教义合一，且在穆斯林社会中法律是宗教的一个方面，法律依存或从属于宗教；一方面，伊斯兰法只是伊斯兰教各个方面中的一个部分，另一方面，伊斯兰教本质上是法律的宗教。按照勒内·达维德的说法：“伊斯兰法是真正伊斯兰精神的概括，是伊斯兰思想最关键的表达，是伊斯兰教最主要之中心。”(424) 三是，伊斯兰法独特的“法源”体系，即法源之多样化，一方面反映了伊斯兰法的神启性，另一方面又有助于克服伊斯兰法的僵化与保守，使伊斯兰法在一定程度上满足社会发展变化的需要；伊斯兰法学家在伊斯

兰法发展过程中一直发挥着主导作用，伊斯兰法律的学说化和伊斯兰法学的法律化，是伊斯兰法发展历史上的特点，其结果必然是，伊斯兰法学家的著作成为伊斯兰法的化身，伊斯兰法则成为“法学家的法律”；“公议”和“类比”过程中形成的多种伊斯兰法学派别或对《古兰经》的多种注释，造就了伊斯兰法在内容和适用上的散乱性。四是，伊斯兰法具有特殊地位和影响，具有不可修改性，即伊斯兰法是以伊斯兰教义为基础和渊源，伊斯兰教与其他宗教一样，既是一种精神信仰，又有其特殊性，即它是一种价值观念和文化体系，是一套完整的社会、政治、法律制度和生活方式，决定了伊斯兰法在伊斯兰国家中的特殊地位和对这些国家制定法的强大影响。由于穆斯林社会将伊斯兰法视为“神圣法律”，是安拉的指示，因而赋予了它不可修改的性质或规定性，即使随着时代的发展，这一特点也发生了某些变化，但是基本理念仍然发挥着主导作用。

### 2.3 作为宗教法的伊斯兰法之类型化

在马克斯·韦伯的理性类型学之中，“情感”和“传统”理性属于韦伯所谓的“共同体性”的社会行动，而目标理性和价值理性则属“社会性”的社会行动。与前两种理性类型不同，目标理性与价值理性行动，分别都是分化社会中的理性行动，它们都涉及社会行动者对于实践行动进行有意识的、审慎的“组织”过程，即这两种理性类型都与分化社会条件下的伦理理性化有密切的关系。

韦伯依此做出决策的方式和通常用于执行法律体系所遵循程序的合理性来分析法律制度，由此产生了韦伯的类型学。所谓韦伯的决策类型学，是指不论现存的是否具有合理性，或是否制定程序，他把法律体系分为四种类型，即实质非理性、实质理性、形式非理性、形式理性。

在韦伯看来，理性的制度是运用一般规则做出决策；而非理性的制度是排除运用一般规则。形式的制度是基于已经确立的证据和程序规则做出决策，不论其是否公正；而实质的制度是无正式的规则，只遵循普遍盛行的公正理念考量个案情形。由此，司法判决程序依照合理性和形式性是现存的还是非现存的而确定。实质非理性的制度是基于逐案决策，常常依赖于超凡魅力的司法官的洞见。卡迪式的司法正义，即伊斯兰城镇基于卡迪式法官的司法审判模式，是这种制度的典型范例。如在市场上法官将在买卖双方之间裁判争议。不存在形式，没有明确的规则和法律原则指导裁决。实质理性制度运用法律之外的资源如宗教或特定的意识形态裁判案件，如清教徒运用圣经的戒律裁决案件。在形式非理性的制度中，运用特定的法律程序，尽管裁决并不是源于一般规则而是源于某种超自然的力量，如神谕或神启。戒律常常依赖骨头的形状、鸟的羽毛或作为征兆的梦，且一般而言，特定仪式的咒语是必需的。在形式理性制度中，判决案件运用逻辑式的、具有连续性的、抽象的规则，且这些规则具有独立于道德的、宗教的和其他的规范标准。同质的案件应当同等对待。这种理论普遍流行的制度是美国司法制度，是一种形式理性制度。由此，韦伯描述了理想类型：如果制度是完全合理的，施加于个人违反刑法的行为的判刑就应当在相当大的程度上与犯罪类型和犯罪的后果相关。然而在美国现存的判刑却与犯罪的后果有较小的关联性，且法律在实践中更趋向于实质理性而非程序理性。

按照马克斯·韦伯的理性类型学分类，伊斯兰法与伊斯兰教义具有同构性、共时性和互证性特点，属于实质非理性类型。这种类型的法律可以描述为，基于逐案决策，常常依赖于超凡魅力的司法官的洞见，其范例是伊斯兰城镇的卡迪法院的审判，其结果在于：一是，缺乏法律思想形成的理性基础；二是，不可能为了法的内在和外在的统一化的目的而系统地立法；三是，神圣的教法既不能消除，就不能真正在实践中得以贯彻；四是，不存在形式，没有明确的规则和法律原则指导司法裁决。(151)

(1) 在很大程度上，伊斯兰法之性质取决于其历史自身，充满着理论与实践之反差。伊斯兰法并不宣称具有普遍的效力，它只对伊斯兰国家领土内的穆斯林具有完全的约束力，而这种约束力对在敌国领土的穆斯林较弱，对伊斯兰领土内的非穆斯林则更有限。神圣的法，

作为等级的法仅仅适用于伊斯兰的有关法的成员，不适用于被征服的信仰其他宗教的人。后果是各种各样不同形式的法律分治继续存在：不管是作为对各种不同的被容忍的、部分主动享有特权的、部分受特权损害的宗教等级分治也好，还是作为地方的运用或者职业的运用也罢；而且根据这条原则：任意专断打破国家法律的约束，尽管这条原则的深远意义在这里如同在其他地方一样，与它要求无条件适用、然而在解释时又摇摆不定的神圣的准则相比，必然会令人疑窦丛生。特别是伊斯兰商业法发展了一些部分被西方直接接受下来的制度，它们在伊斯兰内部的适用很大部分只能依靠交往的忠诚和商人对法律宣判在经济上的影响来保证，而不是通过一种理性的法的章程或可靠的原则来保证：神圣的传统威胁着这些制度的大部分，而不是促进它们，它们存在与法律之外。(151-152)同样，伊斯兰法在其适用的领域自身未能幸免于不法行为的影响，这种影响的程度取决于政府的性质和力量。但鉴于对品性不好的法官任命的有效性、甚至由不合法政治权威任命法官的有效性、以及法官接受品性不良证人证据而作出判决的有效性，伊斯兰法对其他弊端也采取相当实际的观点。

(2) 伊斯兰宗教法之模型、保障其在多样性中具有统一性的特征，决定了评价称之为法律在内的一切人类行为和关系，而法律本身已被彻底地融入宗教义务的体系之中，且这些基本概念也遍及法律事项。正如在礼拜方面一样，既有必须履行的和不能规避的行为，又有另一些只是受嘉许的行为，继承人偿付死者的债务是嘉许的但不是必须的，甚至有权对故意杀人者要求复仇的近亲属放弃该种权利而代之以获得金钱的赔偿也是嘉许的行为。当然伊斯兰法是系统的，即它代表了一种前后一致的学说体系。它对几种制度的相互关系处理得较好：以合同与债法中买卖合同为例，每一种制度、交易和债都依宗教和道德原则的标准去衡量，如禁止利息、禁止不确定性、关心当事人双方平等和关心公正公平等。除此，全部法律渗透着宗教和伦理的考虑。在理论上能够分辨这两种系统化的过程，在实践中它们合为一体。各种合同在结构上彼此相似的原因在于：如此对同种宗教和道德原则的共同考虑贯穿全部合同之中。当然，伊斯兰化和系统化这两个过程是同时发生的；宗教和道德规范及结构组织共同对将成为伊斯法的原始材料施加影响。第一批法律专家自己创制了伊斯兰法体系，他们没有借取前伊斯兰时期的渊源，却为伊斯兰法提供了许多材料要素。

(3) 在一定程度上，作为一种“宗教法”，伊斯兰法具有某种不受外界支配的和非理性的特征。《古兰经》和先知的“圣训”被认为是对安拉命令的表达，就这两个权威的基础而言，伊斯兰法是不受外界支配的。此外，社会契约虽然这个原则也由神的权威所涵盖，但它代表了向一种自治法的过渡。它决定对《古兰经》和圣训的解释，决定各种圣训的权威性；甚至认可那些违背经文明确含义的解释。伊斯兰法中的非理性因素部分是宗教即伊斯兰的，部分是源于前伊斯兰时期和巫术。巫术形式的例子如“兹哈尔”、伊斯兰的“里安”程序和古代阿拉伯的“卡萨玛”以及证据的一般性质与功能等。甚至集系统化之大成者沙斐派，在按其愿望使制度合理化方面亦常不能获得成功，但法律问题，不论其出处如何，也含有理性成分，对它们的组织、完善和系统化不是通过陆续神启的非理性过程，而是通过按其性质来说必要的理性解释和适用方法。由此，根据伊斯兰法不受外界支配和非理性的一面，其规范的效力在于规范本身的存在，而毋需具有合理性。当然，伊斯兰法不受外界支配和非理性的一面也要求遵守字面意思而不是精神，并促成了包括法律假设在内的法律技巧的巨大发展和广泛受到承认。然而，现代伊斯兰法认同科学理性，宣称伊斯兰教是以科学理性为基础。基于这一认识，现代主义者认为理性主义原则为伊斯兰教所固有，而他们的历史使命之一就是恢复理性至上的宗教精神。为此，调和宗教与理性、对超验的宗教启示(天命)作符合理性要求的诠释，成为现代主义经注学的另一基本特征。与此同时，现代经注学也是伊斯兰世界改革创新的重要理论依据。(吴云贵，153)

(4) 法律社会学的研究表明，将法律问题输入一种体系之中具有两种方法，即分析方法和类比方法。伊斯兰法纯粹代表了后一种系统化类型。较发达法律概念的存在并不代表第一种方法，而决凝方法的存在也不代表第二种方法。但伊斯兰法律概念的性质和决凝方法的性

质说明, 伊斯兰法律思想是由并列和联想出发的。最重要的是, “类比”的方法作为伊斯兰法的四“根源”或原则之一, 是纯粹类推式的。所有这些特征弥漫于整个伊斯兰法的那种典型思想方式的体现。关于实在法的形式特征, 法律社会学区别了两种极端情形, 一是保障个人主观权利的客观法, 这种法最终是所有个人权利的总合。相反的情形是属于行政管理的法律, 它是特殊要求的总和。伊斯兰法属于后一种, 这与对伊斯兰“公”法结构所进行的考察结果一致。由此, 伊斯兰法一个典型特征表现为私人和个人性。

### 3. 结束语

总之, 伊斯兰法是代表宗教法和“法学家法”的极端例证: 一方面, 在伊斯兰法中是数量渐增的穆斯林热情要求将宗教规范适用于各类行为关系。伊斯兰法的形成既不是根源于实践的急需, 也不是由于法律技术, 而是基于宗教和伦理思想, 且由私人学者所创设和进一步发展, 从而导致其保守性; 另一方面, 在坚持伊斯兰文明的主体性的同时, 主张“改革开放”, 即把伊斯兰文化遗产视为“传统文明”, 而把当代物质文明看作是非道德性的手段和工具, 认为当代物质文明应当与传统文明融合。(吴云贵, 153)当然, 伊斯兰教义和伊斯兰法对世界宗教和法律的影响具有重要意义。正如美国著名历史学家菲利普·希提说: 讲阿拉伯语的各国人民, 是第三种一神教的创造者, 是另外两种一神教的受益者, 是与西方分享希腊—罗马文化传统的人民, 是在整个中世纪时期高举文明火炬的人物, 是对欧洲文艺复兴做出慷慨贡献的人们。(希提: 904)

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## Review and Analysis on US Cyber Security Talents Training

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**Keywords:** Cyber security; Training.

**Abstract.** The development and policies on US cyber security workforce education and training are reviewed which will be helpful to cyber security talents training in china. First, policies and strategic plans related to cyber security workforce education and training in US are reviewed. Then, the procedures and requirements to be NICCS(National Initiative for Cyber security Careers and Studies) providers are introduced, such as qualification, capability and courses, etc. Finally, suggestions on how china will improve cyber security talents training are proposed based on the experiences and lessons from US, taking account about different perspectives of the strategic planning, cooperation and coordination among government departments, and the demands.

## 美国网络安全人才培训研究

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**关键词:** 网络安全; 人才培养

**中文摘要.** 本文通过分析美国网络安全人才培训建设的发展现状和成功经验, 为中国网络安全人才实训工作开展提供参考。首先, 本文介绍了美国在网络安全人才建设方面的一些顶层设计规划和政策, 然后概述了申请成为NICCS培训提供商过程, 以及申请成为NICCS培训提供商的关键要求, 包括资质要求和课程要求。最后, 根据美国网络安全人才培训的经验, 文章从顶层设计、不同部门之间的协作、以市场需求为导向等角度提出了中国网络安全人才实训的参考建议。

### 1. 引言

网络技术快速发展和应用正在影响着人类社会的方方面面, 正因如此, 网络安全人才建设已成为各国优先发展的课题。美国作为世界网络空间安全的领跑者, 早已意识到, 人们对网络安全的了解还远远不够, 也无法只靠自己解决网络安全问题, 需要大力培养后备网络安

全人才和专家，以共同抵御未来的网络威胁。因此，美国在网络安全人才队伍建设方面采取了一系列行之有效的措施，包括高等教育、培训、学术研究等，积累了较为先进的经验，值得我们学习和借鉴。本文主要分析总结了美国网络安全人才培养相关工作和经验，并提出了推动中国网络安全人才培养工作的建议。

## 2. 美国制定一系列战略规划推动网络安全人才建设工作

2009年5月，奥巴马政府颁布《网络政策评估》报告，提出要发展网络力量，建立数字化国家，并要求提升美国公民的网络安全意识。同年，美国在《综合网络安全倡议》中提出，要培养有知识、有技术、有能力的网络安全人才；通过整建现有网络安全人才力量和拓宽招募人才渠道来壮大网络安全保证能力。为此，美国计划通过建立网络安全教育体系，实施了多个网络安全人才培养计划和项目，以期扩大网络安全人才队伍规模。

2010年4月，美国启动“国家网络安全教育计划”(NICE)，期望通过国家的整体布局和行动，在信息安全常识普及、正规学历教育、职业化培训和认证等三个方面开展系统化、规范化的工作，以提高公民网络安全意识、提高网络安全人才储备、培养具有国际竞争力的人才。

2011年8月，美国国家标准技术研究院发布了《NICE战略规划(草案)》。《NICE战略规划》制定了几个具体目标，其中之一是“扩充网络空间安全队伍后备人才”，不仅通过加强网络空间安全与团队教育，以及数学和计算思维的作用，增加基础教育中有关网络空间安全的教学内容，还通过增加丰富多彩的课程和研究机会，促进对计算机科学和网络空间安全的兴趣。

为了配合NICE的落实，美国国土安全部于2013年制定了《网络安全职业和研究国家倡议(NICCS)》，由其所属网络安全和通信办公室管理。NICCS集中了很多网络安全相关资源，用以提升公民网络安全意识和教育培训，包括：1) 国家卓越学术中心(CAE)项目、服务奖学金(SFS)项目、STEM促进项目等教育类项目；2) 为学生提供“实践学习”的联邦虚拟培训环境(FedVTE)，如网络竞赛、网络游戏和编程、网络训练营等；3) 职业培训和认证。

下面主要介绍成为NICCS培训提供商过程和核心要求，供学习参考。

## 3. 申请成为NICCS培训提供商过程

申请成为NICCS培训提供商，把相应的培训课程加入到网络安全培训与教育课程目录中，分为4个步骤：申请(Apply)、映射(Map)、提交(Submit)、确认(Verify)，具体内容如下：

### 步骤一：申请(Apply)

首先，申请方要在线申请，填写申请表。申请表包括企业基本信息和联系人信息、资质信息、自我声明等内容。必要时，可能会被要求通过邮件提供更多资料。申请通过后，将会得到一个NICCS提供商ID，用于后续的联系与处理申请相关事宜。

### 步骤二：映射(Map)

在收到NICCS提供商ID后，开始准备课程信息，提交给NICCS监管办公室。课程资料包括课程描述、编号、网址链接、课程目的、熟练等级、学习前应具备的基础条件、课程的教授模式等。这个过程中，还要将课程映射到人才框架的专业领域中，最多一门课程可以映射/关联5个专业领域。

### 步骤三：提交(Submit)

完成步骤二的工作后，就可以把资料通过邮件提交给NICCS监管办公室，并得到一个资料收到的确认。需要时，NICCS监管办公室可能要求提供更多资料。

一般来讲，NICCS每年有三次机会发布和更新认可的提供商列表，分别是3月、6月、9月，对应提交申请资料的截止日期分别是1月6日、4月24日、7月24日。

#### 步骤四：确认（Verify）

如果申请的课程得到认可，允许加入到网络安全培训与教育课程目录中，NICCS监管办公室将会发送正式通知。为了保证课程信息的准确性，提供商需要经常更新相关数据。

### 4. 申请成为NICCS培训提供商的关键要求

申请成为NICCS培训提供商，把相应的培训课程加入到其“网络安全培训与教育课程目录”中，包括两方面主要的要求：资质要求和培训课程要求。

#### 4.1 申请方资质要求

资质信息部分要求“为确保每一个提供商是合法企业，任何申请者必须满足以下条件之一（填写时可以选择所有符合要求的条件）”：

- 1) 是美国总务管理局（GSA- General Services Administration）认可的、有效的提供商；
- 2) 是CAE认可的学校；
- 3) 是认可的联邦机构和部门的培训提供商；
- 4) 如果是科研机构，是美国教育部（Department of Education）或高等教育认证委员会（CHEA-Council for Higher Education Accreditation）认可的机构认可的提供商；

5) 必须满足以下条件：至少运营一年以上；18个月内至少能开展2次培训课程；表明企业实体许可的证明文件。

此外，还要求申请方提供自我声明，具体内容包括：测量课程的有效性；评估学生的反馈信息；定期评估课程的发展，并进行修订；分析课程修订的有效性；建立系统跟踪学生信息，包括名字、培训日期等，这些信息至少保留3年；培训结束时颁发证书。

#### 4.2 培训课程要求

NICCS提供“网络安全培训与教育课程目录”，目录中的培训课程（Course）主要是依据《国家网络安全人才框架》进行分类，包括7大类、31个专业领域，具体内容如下。

(1) 分析（Analyze）：负责高度专业化地审查和评估收集到的网络安全信息，以确定其情报价值，包含全面分析（All Source Intelligence）、深度分析（Exploitation Analysis）、定向分析（Targets）、威胁分析（Threat Analysis）等4个专业领域。

(2) 调查（Investigate）：负责网络事件和IT系统和网络犯罪的调查，以及数字证据，包括数字取证（Digital Forensics）、调查（Investigation）等2个专业领域。

(3) 收集与作战（Collect and Operate）：负责用于发掘情报的网络安全信息专业的收集、拒绝和诱骗操作，包括收集（Collection Operations）、网络作战（Cyber Operations）、网络作战计划（Cyber Operations Planning）等3个专业领域。

(4) 运行与维护（Operate and Maintain）：负责为IT系统有效的、高效的运行和安全提供支持、管理、维护，包括客户服务和技术支持（Customer Service and Technical Support）、数据管理（Data Administration）、知识管理（Knowledge Management）、网络服务（Network Services）、系统管理（System Administration）、系统安全分析（Systems Security Analysis）等6个专业领域。

(5) 保护与防御（Protect and Defend）：负责鉴别、分析、减缓对内部IT系统或网络的威胁，包括计算机网络防御分析（Computer Network Defense (CND) Analysis）、计算机网络防御基础设施支持（Computer Network Defense (CND) Infrastructure Support）、应急响应（Incident Response）、脆弱性评估与管理（Vulnerability Assessment and Management）等4个专业领域。

(6) 安全供应（Securely Provision）：负责构思、设计和建设安全的IT系统，实际上就是系统开发的某些方面，包括信息保障合规性（Information Assurance (IA) Compliance）、软件保障和安全工程（Software Assurance and Security Engineering）、系统开发（Systems



Development)、系统需求规划 (Systems Requirements Planning)、系统安全架构 (Systems Security Architecture)、技术与研究开发 (Technology Research and Development)、测试与评估 (Test and Evaluation) 等7个专业领域。

(7) 监管与发展 (Oversight and Development)：负责提供领导、管理、指导，和（或）支持，以便保障个人和组织能够有效地开展网络空间安全工作，包括教育和培训 (Education and Training)、信息系统安全操作 (信息系统安全官) (Information Systems Security Operations [ISSO-Information Systems Security Officer])、法律咨询和诉讼代理 (Legal Advice and Advocacy)、安全项目管理 (首席信息安全官) (Security Program Management[CISO-Chief Information Security Officer])、战略规划与策略制定 (Strategic Planning and Policy Development) 等5个专业领域。

目前，该目录已经有2000多个课程，149培训提供商（包括高校、培训机构、网络安全公司等），而且这个列表还在不断的更新。

每个专业领域分为5个熟练等级（见表1）：新手 (No Proficiency)、基本级 (Basic)、中级 (Intermediate)、高级 (Advanced)、专家 (Expert)。

表1 熟练等级

熟练级别	描述
0-新手	具备很少知识、技能或能力，可以被认为是门外汉。
1-基本级	具备基本的知识、技能或能力，能够根据特定的指南或手册完成简单的工作。
2-中级	具备中等级别的知识、技能或能力，辅助少量指导可以独立完成日常工作。
3-高级	具备高等级的知识、技能或能力，可以独立完成复杂、具有创新性的工作。
4-专家	具备专家级的知识、技能或能力，可以独立完成高度复杂、困难的工作，或者本身就是这方面的管理者、咨询师等。

5. 美国网络安全人才培养经验和启示

5.1 网络安全人才实训要加强顶层设计

网络安全人才培养需要系统的战略规划。从《国家网络安全教育计划》、《NICE战略规划》，到《网络安全职业和研究国家倡议》，以及《国家网络安全人才框架》，再到一系列教育培训项目来看，美国在网络安全人才培养方面制定了系统、全面的战略规划和配套政策，以推动网络安全人才培养工作。目前，中国这方面的工作还有待提高，顶层设计和相关政策都比较滞后，需要重点关注和解决这个问题，以快速推动网络安全人才培养工作。

5.2 网络安全人才实训需要多部门分工协助

网络安全人才培养需要政府主管部门、高等院校、相关企业等分工协作、互相配合，提高人才培养的效率。目前，中国开展网络安全人才培养相关工作的渠道较丰富，但缺少相互协作，或者是较松散的联合。2015年6月，“网络空间安全”被批准为一级学科，中国国内已有几十所高校设立了网络安全相关专业，但是整体还是不能满足中国对网络安全人才的迫切需求，而且与网络安全企业、相关主管部门实际需求衔接较差，很多学生动手实践能力不高，很难适应实际工作要求。中国国内很多测评认证机构、行业协会等提供网络安全人员资质类培训项目，但是存在标准不统一、以获证为目的等问题，对于从业人员实践能力的提高很有限。一些网络安全企业通过招聘实习人员、提供专项培训的方式，开展网络安全人才培养工作，但是因企业的利益诉求、自身规模等因素限制，无法大规模开展培训工作。因此，国家应该建立有效机制，将现有网络安全人才培养力量合理利用，存进相互分工协作，适应多层次网络安全人才培养的需要。

### 5.3 网络安全人才实训要坚持需求导向的原则

网络安全人才培养应该充分考虑用人单位的需求，以市场需求为导向。美国在开展网络安全人才建设工作的时候，首先建立了系统的顶层设计和管理制度，然后充分调研了国土安全部、国防安全局等部门对网络安全人才的需求，制定了《国家网络安全人才框架》等标准，分层次、分专业的开展人才建设工作。中网络安全人才培养工作具备一定的基础，但是整体来看还是不能满足需求。因此，中国开展网络安全人才培养工作，应充分调研已有资源情况和实际需求，从专业设置、地域分布、人员层次等多角度出发制定合理的网络安全人才培养机制和管理制度，提高人才培养的效率，以适应国家对网络安全人才的迫切需求。

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## A Study on Constructing Indicators of Service Marketing for Children's English Educational Institute

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**Keywords:** Children; English educational institute; Service marketing; Indicator.

**Abstract.** This study aimed to construct services marketing indicators of children's English educational institute, based on analysis of the relevant literature as the theoretical basis and combined with semi-structured interviews of three practical operators to propose and summarize the prototype of this indicator. In this study, based on the traditional Delphi method, four experts were invited to review the validity of indicator content, in order to prepare Delphi questionnaire. And then, twelve Delphi experts in relevant areas were invited to divide into three groups: practice management, educational administration and academics, through three rounds of Delphi questionnaires to obtain a consensus opinion. Finally, the third round of survey results was based on Kruskal-Wallis one-way analysis of variance by ranks to view difference analysis of the present three groups of Delphi experts' opinions consistency, in order to build service marketing indicators of children's English educational institute consists of three levels, twelve indicator facets and sixty particulars.

## 建构儿童美语补习班服务营销指标之研究

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**关键词:** 儿童; 美语补习班; 服务营销; 指标

**中文摘要.** 本研究旨在建构儿童美语补习班服务营销指标, 经相关文献分析作为理论基础, 结合 3 位实务经营者半结构式访谈内容, 以拟定归纳指标雏型。本研究采传统德菲法, 请 4 位专家进行指标内容效度审查, 以编制德菲调查问卷。续邀 12 位相关领域德菲专家, 分成实务经营、教育行政、学者等三组, 透过三回合德菲问卷调查意见以取得共识。最后, 以第三回合问卷调查结果进行克-瓦氏单因子等级变异数分析, 检视 3 组德菲专家意见之一致性差异分析, 以建立儿童美语补习班服务营销指针包含 3 个层面、12 个指针构面与 60 个指标细项。

# 1. 引言

## 1.1 研究背景与动机

语文是迈向国际化的重要媒介，政府大力推动各个学习阶段的英语教育以提高国家竞争力。华人社会注重文凭，补习文化根深蒂固，家长深怕孩子输在起跑点，儿童补习美语风气盛行。补习班是目前教育制度下文教服务产业中不可或缺的，在面对日益激烈的市场，如何增加优势条件以继续生存；并能在教育服务领域中培育学样，是社会与家长共同关注的议题。

补习班着重的美语认证及授课教材，能否真正增进学习成效？师资与课程的服务质量是否符合家长选择和儿童需求？业者如何在供需竞争激烈的环境中，凭借着服务质量、口碑及营销策略等，在高度竞争的文教服务市场中获得永续经营的契机，确实值得研究。

## 1.2 研究目的

本研究目的有三项：（一）汇整文献与实务者访谈，分析儿童美语补习班服务营销指标之架构。（二）接续采用德菲专家问卷，建构儿童美语补习班服务营销指针之层面、构面和细项。（三）根据研究结论并提出建议，俾益教育行政主管部门与儿童美语补习班推动服务营销运作，及作为未来相关研究之参考。

# 2. 文献探讨

## 2.1 儿童美语补习班之相关研究

分析儿童美语补习班之相关研究，家长对儿童美语补习班服务质量的要求与认知上，首重的是专业师资与热忱态度<sup>[1]</sup>。提供专业的美语教学服务，可以提高顾客忠诚度<sup>[2]</sup>。整体而言，补教业者唯有建立企业良好的品牌形象，多元创新具差异化的服务内容并提升质量成效，发展各种营销策略，提高顾客满意度，与家长保持良好合作互动关系，建立良好的企业形象与口碑效应，才能在激烈竞争的环境中取得优势地位<sup>[3][4][5]</sup>。

## 2.2 服务营销之相关研究

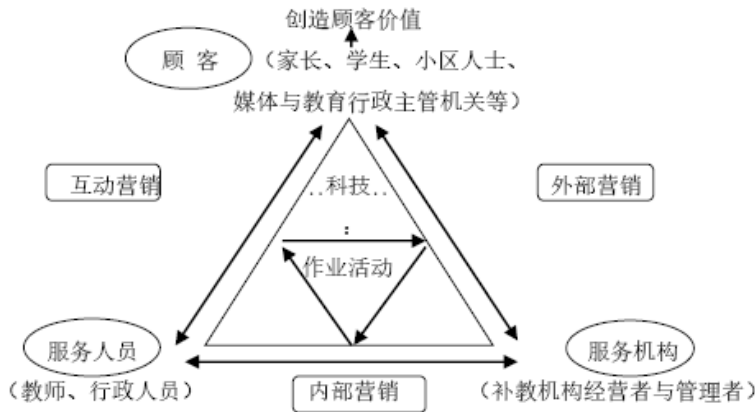


图 1 服务营销金三角架构图（数据源：修改自<sup>[6]</sup>）

自从学者托马斯(Thomas, D.R.E.)于 1978 年对服务营销的概念提出「服务金三角」营销架构后，很多学者即据此三构面展开后续研究<sup>[6]</sup>。本研究以服务金三角之营销架构为主轴，审视台湾补习教育机构的特质及实际市场需求，纳入日新月异的网际科技元素，调整以符合儿童美语补习班的服务营销架构三大层面（如图 1），分述如下：（一）内部营销：需包含认知服

务与营销理念、有效训练、进修研习管道、激励和强化向心力与认同感、适当薪酬、团队合作默契、分工支持，创造内部共趋的愿景目标。(二)外部营销：需针对服务质量、价格、通路、推广、环境设备、人员应对态度及其他要素，拟定符合消费需求构思，制定最佳组合，策画特色优势的营销策略，以促发选择动机。(三)互动营销：服务者必须注重亲师合作，以多样化的沟通模式与家长交换双方教育理念；并提供良好友善、优良质量的服务，造就彼此满意的互动结果，实践承诺创造价值。

## 2.3 儿童美语补习班服务营销之相关研究

目前教育组织在运用营销指针之研究未臻成熟，针对儿童美语补习班服务营销指针为主题则更欠缺。整合文献发现，学校服务营销则内部、外部与互动营销三向度是环环相扣、相互影响<sup>[7]</sup>。在儿童课后照顾服务中心服务营销则须以人为主，尤注重「内部」与「互动」营销<sup>[8]</sup>。补习班营销则着重品牌形象的经营，透过服务营销来提升经营绩效<sup>[9]</sup>。在幼教机构服务营销指标中，以互动营销向度最重要<sup>[10]</sup>。

## 3. 研究设计与实施

### 3.1 研究方法 with 对象

依研究目的与需要，本研究采用理论文献分析、半结构式访谈法、传统德菲法等。研究对象为邀请 3 位儿童美语补习班资深经营者，及 Delphi 专家成员 16 位。受访者都具经营营销实务经验 10 年以上且办学绩效良好。研究者以专业素养与知识能力、任职熟捻事务及具营销概念与经验等三项作为遴选之要件，从产业、官方和学界三方面选取 16 位德菲专家，透过专家群的专业知能、意见与判断作出共识决策，以建立兼具理论与实务之指标。

### 3.2 研究实施程序

分为(一)准备阶段：拟制研究主题与进度→文献探讨与分析→访谈与汇整→问卷内容效度审查→遴选专家成员；(二)运行时间：制作德菲问卷→问卷寄发与回收分析→意见汇整与达成共识→指标建立；(三)完成阶段：归纳分析与统整结果→撰写研究论文，三个程序进行。

### 3.3 研究工具与数据处理

依据研究设计，所使用工具包含半结构式访谈稿和传统德菲法三回合调查问卷。数据处理包括质性访谈与问卷统计分析。首将半结构式访谈内容建置编码整理分析。问卷设计采用 Likert-type 五点量表，以 SPSS 20 版将 Delphi 成员对各构面与细项的重要性得分，进行众数、平均数与标准偏差统计数据加以判断分析。续采 H 检定分析第三回合问卷结果三组专家于各组等级平均数、H 检定值，了解其对各项指标意见之差异性分析，即建构指针系统。

## 4. 研究结果分析与讨论

### 4.1 访谈结果分析

访谈 Af、Bf、Cf 一致认为 3 个层面、12 个构面及顺序无需增修。指针细项方面则修饰 2 个，使文字叙述、语词润饰以更具体明确；因未符合实际服务样态予以删除 1 个细项。据此，初拟指针架构系统为内部、外部与互动营销 3 大层面，及其各层面下 12 个构面，共 61 个指标细项。

### 4.2 专家内容效度审查结果分析

四位专家学者检视问卷指标构面与细项之用词的适切性结果显示：指标 12 个构面通过，61 项细项则保留 28 项、修正 33 项、增加 2 项、删除 0 项，修正部分主要着重于意涵明确及语词修饰。经专家之审查后，在内容叙述上更加具体明确，且用字遣词符合法令规范。

4.3 德菲三回合问卷指标建构结果分析

首次德菲问卷于 105 年 3 月 27 日以挂号邮寄或电子邮件的方式寄送 12 份，第三回合德菲问卷于同年 4 月 28 日全部回收完毕，三次回收率皆为百分之百。

(一) 首次 Delphi 问卷结果分析

指针层面与构面并无修正，细项符合原预设门坎值「 $M \geq 3.5$ 」且「 $SD \leq 1$ 」保留维持原指标不变共有 40 个，依据德菲专家之意见修改有 22 个，意见分歧而未符合预设门坎值之条件删除 1 个指标。综合意见汇整分析出 3 个层面、12 个构面、62 个细项。

(二) 第二回 Delphi 问卷结果分析

指针层面与构面并无修正，细项符合原预设门坎值「 $M \geq 3.9$ 」且「 $SD \leq 0.6$ 」保留维持原指标不变共 59 个，修改指标有 1 个，意见分歧而未符合预设门坎值之条件删除 2 个指标外，德菲专家群对指标多已具有初步共识。修正后为 3 个层面、12 个构面、60 个细项。。

(三) 第三回 Delphi 问卷结果分析

各指标细项符合原预设门坎值「 $M \geq 3.9$ 」且「 $SD \leq 0.6$ 」，内容皆无做修正，显示德菲专家成员对各项指标业已具备共识。即建构指针系统 3 个层面、12 个构面、60 个细项。

4.4 H 检定结果分析

产官学三组专家群除在内部营销层面之专业训练构面里「指标 A-2-2」其 H 检定值为 7.333,  $p=.026<.05$  达显著水平 ( $p<.05$ )。此项指标产业、官方二组与学者组的见解程度具有差异，和质性访谈内容、行政实务比较探讨分析，得以符合印证。其余指标所呈现之  $p$  值皆未达显著水平 ( $p>.05$ )，表示三组专家成员对指标之重要程度看法已趋于一致。

4.5 指标建构结果探讨

本研究透过三次严谨的门坎值以建立指标。从表 1 呈现数据变化显示：第一回合专家群对细项词语润饰占总指标细项的 35%；于第二回合问卷时，仅一位专家对 1 项内容提出语辞修饰外，其余意见骤减；第三回合则无修正。德菲三回合问卷中指标构面不变、细项删除 3 项，并无增加部分，修饰大幅度减少，显示专家成员对指针各构面与细项业已具备共识。

表 1 德菲三回合指标数量变化及百分率统计表

项目	指标细项保留	指标细项修正	指标细项删除	指标细项增加
第一回合	40 (占 63.5%)	22 (占 35.0%)	1 (占 1.5%)	0
第二回合	59 (占 95.2%)	1 (占 1.6%)	2 (占 3.2%)	0
第三回合	60 (占 100%)	0 (占 0%)	0 (占 0%)	0

5. 结论与建议

5.1 结论

本研究经文献分析与理论归纳，得儿童美语补习班服务营销由内部、外部和互动营销三层面来建构；再结合访谈及专家内容审题后发展出指标初稿；进行三回合德菲法问卷调查，依据专家群之意见取得共识后建构指针系统涵盖 3 个层面、12 个构面与 60 个细项（如表 2）。

表 2 儿童美语补习班服务营销指针系统

层面	构面	细 项
A 内 部 营 销	A-1 组织 文化	A-1-1 补习班能凝聚全员对办学宗旨与教育理念的共识。
		A-1-2 补习班能运用管道与措施向成员传达组织的愿景与目标
		A-1-3 补习班能激励成员具教育服务使命和热忱的价值观。
		A-1-4 补习班能培养成员互助支持及信任合作的团队精神。
		A-1-5 补习班能增进成员间彼此关怀、和睦相处的气氛。
	A-2 专业	A-2-1 补习班能提供专业职前培训课程，以提升基础专业知能。
		A-2-2 补习班能提供专业美语师训课程，让教师能根据个人需求，精进学养素质和教学知能。

B 外部营销	训练	A-2-3 补习班能鼓励教职员参与外部(自办以外)研习进修, 以提升专业资历和证照之取得。
		A-2-4 补习班能举办活动企划、行政管理等辅导训练, 以提升经营管理绩效。
		A-2-5 补习班能提供生涯发展相关训练, 以满足员工成长需求。
	A-3 福利制度	A-3-1 补习班能提供教职员合理的薪资。
		A-3-2 补习班能制订并落实公平合理的绩效评估与奖励制度。
		A-3-3 补习班能建立明确健全的晋用升迁制度。
	A-4 沟通管道	A-3-4 补习班能提供职能进修、生育与抚育等政策, 以提高留任意愿。
		A-4-1 补习班能利用各种媒介与成员沟通补习班理念及决策措施。
		A-4-2 补习班能提供多元管道, 让教职员充分参与意见表达。
		A-4-3 补习班能建立畅通的对话机制, 倾听教职员的建议。
	B-1 品牌形象	B-1-1 补习班能发展课程与教学特色, 提高家长认同度。
		B-1-2 补习班教师以专业美语和教学成效, 形塑优质品牌。
		B-1-3 补习班能提升学童在校美语学习及行为表现, 提升形象信誉。
C 互动营销	B-1 品牌形象	B-1-4 补习班能提升学童美语检定通过率及各项表演竞赛成绩, 塑造品牌良好声誉。
		B-1-5 补习班能符合教育趋势与市场需求创新研发, 获得社会大众的肯定。
	B-2 价格策略	B-2-1 补习班能依循法规制订定型化契约, 订定清楚合理的收退费标准。
		B-2-2 补习班所制定的收费标准, 能符合区域市场接受度。
		B-2-3 补习班能规划多种价格优惠方案(如: 折扣、赠品、奖学金、体验试听...等), 吸引报名入学。
	B-3 通路推广	B-3-1 补习班地点能便于学童交通往返与家长接送。
		B-3-2 补习班能架设各式宣传管道, 建立品牌特色及展现成果, 让家长易于搜寻和浏览。
		B-3-3 补习班能利用各式通讯传媒、创意营销活动与广告企划, 提高品牌能见度。
	B-4 师资教材	B-3-4 补习班能采取多种优惠方式来进行推广(如: 旧生回馈、试听说明会、预约折扣、兑换优待... 等)。
		B-3-5 补习班能规划与公益团体或异业结合之美语推广服务, 提高曝光率以建立企业社会责任。
		B-3-6 补习班能运用小区资源或公共场域, 举办户外教学、参访和展演活动, 展现补习班特色与成果。
	B-4 师资教材	B-4-1 补习班教职人员的资格, 符合短期补习班设立及管理准则及相关法规之规定。
		B-4-2 补习班能遴聘优质专业师资(含本地籍外籍教师), 进行各式多元教学。
		B-4-3 补习班师资团队具教育热忱、教学与班级经营能力, 能针对不同年龄和学习程度的学童因材施教
	B-5 环境设备	B-4-4 补习班能提供或编撰具适龄和分级连贯性的美语教材与教具, 以提升学童学习表现。
		B-4-5 补习班课程教材设计能结合时事与生活情境, 以提升学童美语听说读写实践与应用的能力。
		B-4-6 补习班能提供个别化及小班分级教学模式, 以提升教学质量。
	B-5 环境设备	B-4-7 补习班能因应市场潮流, 研发创新语言教材与教法, 发展创意的美语教学模式。
		B-4-8 补习班能实施多媒体互动教材与学习平台, 以提升学童学习美语能力。
		B-5-1 补习班所在之建筑物符合工务及消防等设施之法令规范及防护管理。
	C-1 品质管理	B-5-2 补习班能提供完善之安全设备及保健箱, 以维护教职员和学童安全。
		B-5-3 补习班能提供舒适、整洁且明亮之课室空间。
		B-5-4 补习班能提供完善新颖的教学设备与器材(如: 美语图书教具、电子书、交互式电子白板... 等)。
	C-1 品质管理	B-5-5 补习班能依学童学习需求, 规划布置美语教学情境(如: 海报图片、标语...等)。
		C-1-1 补习班能对提供的服务内涵与过程进行稽核管理。
		C-1-2 补习班能建立多元沟通、回馈分享和检讨革新机制, 以建立教学品牌。
	C-2 师生互动	C-1-3 教职员能熟悉服务内容和流程以落实相关服务事项。
		C-1-4 教职员能重视个人之服务仪容、态度与技巧, 以提升服务质量。
		C-1-5 教职员能具备危机处理能力, 因应处置突发事件。
	C-2 师生互动	C-1-6 教师的教学能符合家长的期待。
		C-1-7 教师的美语专业知能和授课技巧能满足学童的学习需求。
		C-2-1 教师能启发学童美语学习之潜能与兴趣。
	C-3 亲师交流	C-2-2 教师能引领学童尊重不同文化, 提升国际观。
		C-2-3 教师能察觉学童的程度及学习模式, 提供適切课程与方法。
		C-2-4 教师能营造愉悦学习情境, 以激励学童学习意愿和动力。
	C-3 亲师交流	C-2-5 教师能以身作则, 引导学童正确的学习态度与行为表现。
		C-3-1 教师能主动运用多元管道(如: 联络簿、电话、网络社群平台、亲师会...等)与家长沟通, 保持良好亲师关系。
		C-3-2 教师能实时向家长传达学童的美语学习表现和适应状况。
		C-3-3 教师能重视家长反映意见, 妥善处理家长的相关问题。
		C-3-4 亲师能透过沟通模式, 建立共同的教育理念和有效的教学方法。

## 5.2 建议

延续上述研究结果, 本研究建议有三项。(一) 对教育行政主管部门之建议: 目前国内并无补习班评鉴制度, 建议可将其转化为评鉴或检核项目以及教师认证办法, 据此办理相关

研习之活动议题，藉以协助补习班提升自身意识、服务质量、营销与经营管理能力，辅导自律、建立企业社会责任等有所帮助，也能让学习者更有保障。（二）对儿童美语补习班服务营销运作之建议：现今面临市场供需严苛考验之环境下，业者能参酌本指标，在兼顾内部、外部与互动营销原则，评估检核自身的认知与作为，藉以研拟改善调整方针，办理相关进修活动与措施，订定具体对策等来调整作为。对补习班招生与形象、经营管理能力、整体绩效提升有所增益。（三）对未来研究之建议：本研究因受限于种种限制，未能以不同规模与区域机构进行深入访谈、长期观察，及大规模问卷调查。未来研究若能此为基础，延伸相关实务研究，并扩增研究参与者之多元观点进行比较分析，因应时势变迁纳入不同变项、内容进行探讨，如此将可使结果更具参考价值。

## 注：

本研究源自林佳芬教授指导之张紫慧「建构儿童美语补习班服务营销指标之研究」硕士论文。

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## Review of Domestic Study on the Structured Models of Credit Risk Measurement

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**Keywords:** Credit risk; Credit risk measurement; Merton model; Structural models; Domestic research summary.

**Abstract.** This paper summarizes the domestic research status of structured models of credit risk measurement. In China, the theoretical studies are carried out from the application of structural models, the improvement and development of structured models and so on; the empirical studies are launched from the test and application of single model, the empirical comparison with various models and so on. Finally, the domestic research status of structural models of credit risk measurement is briefly reviewed.

## 信用风险度量的结构化模型国内研究现状

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**关键词:** 信用风险; 信用风险度量; Merton模型; 结构化模型; 国内研究综述

**中文摘要.** 本文对信用风险度量的结构化模型国内研究现状进行了综述。国内的理论研究主要从结构化模型的应用、结构化模型的改进与发展等几个方面展开; 实证研究主要从单一模型的检验与应用、多种模型的实证比较等几个方面展开。最后, 本文对信用风险度量的结构化模型国内研究现状进行了简要评述。

## 1. 引言

信用风险(Credit risk)是指由于借款人或市场交易对方违约而导致损失的可能性,以及由于借款人的信用评级的变动和履约能力的变化导致其债务的市场价值变动而引起的损失的可能性。上世纪90年代以来,公司倒闭的结构性增加、脱媒效应的显现、竞争的白热化、担保能力的下降、金融衍生品的急剧膨胀、信息技术的飞速发展等因素促使人们加强对信用风险的研究,从而涌现出了现代信用风险度量模型。以金融理论为基础的现代信用风险度量理论模型,是在一系列的经济假设、公理、定理的基础上推导衡量违约概率等的预测模型<sup>[1]</sup>。目前,现代信用风险度量理论模型主要包括<sup>[2]</sup>:结构化模型、简化模型和不完全信息模型。其中,结构化模型是信用风险分析中的经典理论模型,它的理论结构和推理完整严密,对现实经济事件具有较强的解释力,因而获得了广泛的应用。有鉴于此,本文拟对结构化模型的国内研究现状进行综述,以期推动结构化模型的应用与发展。

## 2. 国内的理论研究

### 2.1 结构化模型的应用

在结构化模型的应用方面,杨星、麦元勋(2003)<sup>[3]</sup>分析了对住房贷款违约风险产生影响的主要因素,并采用Merton模型对住房贷款在等额偿还方式下的违约风险度量问题进行了分析。侯光明、张燃(2005)<sup>[4]</sup>对首越时间方法和企业价值方法的优势与缺陷进行了对比分析,讨论了参数计算过程中需要注意的问题;并基于组合管理的角度,分析了结构化方法框架下违约相关性的计算。陈林、周宗放(2009)<sup>[5]</sup>在结构化模型的框架下,分析了母公司和子公司价值之间的相关性与其母公司对子公司股权所占比例之间的关系,并对母公司和子公司之间信用风险传递与它们股权之间的关系进行了分析。欧阳异能、徐云(2010)<sup>[6]</sup>根据信用违约互换的现金流对信用违约互换的价值进行分析,并假定了参考资产是随机负债的,在结构化模型框架下使用无套利定价方法,得出了信用违约互换定价的基本模型。陈林、周宗放和顾婧(2011)<sup>[7]</sup>在结构化模型框架下,基于篮子期权和复合期权原理,构建了企业集团母公司和其子公司违约概率之间的函数,研究分析了子公司信用风险对母公司信用风险的影响关系。任学敏、光华(2011)<sup>[8]</sup>给出了公司在短期债券存续期间没有违约的概率以及在此条件下公司资产的条件分布,并用于长期债券的定价中;同时利用首次通过模型给出了短期债券定价公式。刘易、任学敏(2011)<sup>[9]</sup>利用首次通过模型,在公司分别采用本、外币贷款的情况下,建立了公司的违约概率和贷款价值的数学模型。戎嫣耘、杨晓丽和梁进(2012)<sup>[10]</sup>假定在房价过低情况下贷款人将理性违约,用结构化方法刻画这种情况下的违约,而贷款人早偿的动机比较复杂,用早偿率来刻画,从而建立了贷款违约互换的定价模型。潘凌遥、蒋达(2014)<sup>[11]</sup>采用结构化模型对企业预期违约概率进行精细测算,并将所获得的企业违约概率整合到RAROC贷款定价模型中。陈林、周宗放(2015)<sup>[12]</sup>在结构化模型框架下,考虑统一授信额度的约束,基于对违约风险控制和贷款收益管理的多目标决策,构建了企业集团成员企业授信额度优化配置模型。

### 2.2 结构化模型的改进与发展

在结构化模型的改进与发展方面,康伟刚(2004)<sup>[13]</sup>利用违约率函数和期权定价的结构化方法建立了对公司债券违约率进行估计的模型,采用美国国内公司的整体数据将模型具体化后,得出带马尔可夫链的违约率函数。胡吉卉、简志宏(2005)<sup>[14]</sup>在结构化模型框架下,运用远期鞅方法,推导出随机利率时不完全信息的风险债券定价公式,并对公式中的五个重要指标对风险债券价格的影响进行了分析。程功、张维和熊熊(2007)<sup>[15]</sup>基于国内银行的信息获取机制,提出了一种新的信息噪音假设,并根据结构化模型原理建立违约概率模型。程功、张维(2008)<sup>[16]</sup>根据国内金融市场和银行信用风险管理的特点,建立了考虑噪音的结构

化模型,并提出了一种新的客户风险限额测算方法。薛红、王能华(2008)<sup>[17]</sup>对由Levy过程驱动的信用风险结构化模型进行了研究,基于Levy过程随机分析理论分析了企业的违约概率、债券价值和信用价差并得到了它们的解析表达式。伍舟宏、田明和陈启宏(2008)<sup>[18]</sup>假设标的股票价格满足一个几何双指数跳-扩散过程,并且违约发生于公司股票价格首次低于违约阈值的时刻,给出了一个基于双指数跳跃-扩散过程的股权违约互换定价的结构化模型。朱霞、葛翔宇和李志生(2009)<sup>[19]</sup>将结构化模型和简化模型结合后得到了一种特殊的跳-扩散过程,建立了公司价值服从这一类跳-扩散过程的公司风险债券价值方程,并运用鞅方法得出了公司债券的定价公式。龚朴、高原(2010)<sup>[20]</sup>通过将行为金融中的主观非理性预期引入信用风险的结构化模型,建立了内生的动态均衡模型,揭示了次贷市场中对冲失效、过度波动等现象的本质。龙海明、徐思和唐海龙(2011)<sup>[21]</sup>在住房抵押贷款定价问题研究中,使用双二叉树网格定价模型,在Wei模型的基础上考虑多步跳跃的情况,并且结合HST模型消除了状态变量相关性,另外加入了社会成本变量,使模型的适用性更好。付尔泰、龙海明(2012)<sup>[22]</sup>在结构化模型框架下,通过构建引入摩擦因素的浮动利率住房抵押贷款定价模型,分析了贷款价值,并充分考虑了贷款中的各种隐含期权和借款人的异质性。崔长峰、刘海龙(2013)<sup>[23]</sup>发现使用可变净值度量股东价值的大小,可以合理地体现股票的金融属性为股东带来的价值,用永久美式看跌期权刻画这种金融属性(流通期权),并将其引入到传统结构化模型中能够纠正结构化模型设定的偏误。李少华、程远杰(2014)<sup>[24]</sup>研究了资产的流动性风险,在结构化模型的基础上,给出了信用风险以及流动性风险的损失值模型和利差模型。

### 3. 国内的实证研究

#### 3.1 单一模型的检验与应用

在单一模型的检验与应用方面,吴恒煜、张仁寿(2005)<sup>[25]</sup>利用Black-Scholes-Merton的结构化模型计算客观违约概率,并对客观违约概率的比较静态特征进行了分析。实证结果显示,比较静态特征对信用风险管理有着重要作用。周孝坤(2006)<sup>[26]</sup>将Merton(1974)模型应用在美国公司债券市场,将Leland(1994)模型应用在中国公司债券市场,实证研究发现,结构化模型在美国和中国市场上有类似的解释能力和表现。李晓庆、方大春和郑垂勇(2006)<sup>[27]</sup>采用外生给定的违约回收率代替隐含违约回收率,对结构化模型中的信用溢价公式进行了修正,实证研究了我国上市企业短期融资券的信用溢价。郝成、程功(2008)<sup>[28]</sup>根据结构化模型的基本原理,提出了边际违约概率和累积违约概率模型;利用国内某银行的数据,描绘了1-20年期边际违约概率曲线,计算了年度边际违约概率和年度累积违约概率。李岚(2010)<sup>[29]</sup>基于2007年4月至2009年8月的日数据,对中国五个主体信用级别短期融资券信用利差的决定因素进行了实证研究,结果验证了结构化模型在中国短期融资券市场的有效性。戴国强、孙新宝(2011)<sup>[30]</sup>以Merton(1974)的结构化模型为基础,利用2000年2月至2010年9月的面板数据,实证检验了影响我国沪深债市企业债券信用利差的因素。赵静、方兆本(2011)<sup>[31]</sup>基于信用风险结构化模型理论,利用2007年7月-2010年9月期间的的面板数据研究了中国公司债信用利差的决定因素。王安兴、解文增和余文龙(2012)<sup>[32]</sup>根据结构化模型理论,探讨影响公司债利差的潜在因素,利用横截面回归分析和时间序列回归分析,研究了公司债利差的构成,并分析了各种因素对利差和利差变化的影响。李合怡、贝政新(2013)<sup>[33]</sup>基于Merton公司债务定价模型,实证预测了我国公司债的信用利差,结果显示:公司债的信用利差被结构化模型低估,实际利差与预期违约损失之间存在一个“宽缺口”。睢岚、涂志勇和施虢文(2013)<sup>[34]</sup>研究了影响信用风险缓释工具价格的模型外生因素,并从信用利差的角度进行了实证检验。结果发现,其与经典的信用风险结构化模型的解释相违背,中国市场上的债券久期与债券的信用利差呈现负相关关系。解文增、王安兴(2014)<sup>[35]</sup>采用中国公司债的交易数据,实证检验了公司债利差与结构化模型风险因子的关系是否符合模型预测,并考察了公司财务信息和

宏观经济变量对公司债利差的影响。李合怡、贝政新（2014）<sup>[36]</sup>利用Longstaff和Schwartz的公司债定价模型，从信用风险度量的角度实证分析了对我国中期票据信用利差的影响因素。张茂军、李婷婷和叶志锋（2015）<sup>[37]</sup>利用Merton的结构化模型剖析了公司债信用利差的理论影响机理，并构建多元回归模型，检验中国公司债信用利差的影响因素。

### 3.2 多种模型的实证比较

在多种模型的实证比较方面，李晓庆、雷丰善（2010）<sup>[38]</sup>基于上市企业短期融资券的信用溢价度量来实证比较了Merton（1974）模型、改进的Merton模型、违约点固定的首越边界时间模型、违约点为时间变量的B-C模型以及内生违约边界L-T模型。研究结果表明：上述结构化模型都出现了信用溢价的低估现象，但能揭示样本企业违约风险的实际变化趋势。解文增、孙谦和范龙振（2014）<sup>[39]</sup>采用中国交易所的公司债的季度数据实证研究了Merton（1974）、Longstaff和Schwarz（1995）、Leland和Toft（1996）等结构化模型的定价能力。研究结果显示，结构化模型整体上高估中国公司债价格，且三个模型高估公司债价格的百分比逐渐减少；t值检验和回归分析结果显示，结构化模型定价误差受市值杠杆比率、资产收益波动率和1年期国债收益波动率的影响。

## 4. 简要评述

结构化模型是信用风险分析中的经典理论模型，它的理论结构完整和推理严密，对现实经济事件有着较强的解释能力，因而获得了广泛的应用。国内的理论研究主要从结构化模型的应用、结构化模型的改进与发展等几个方面展开；实证研究主要从单一模型的检验与应用、多种模型的实证比较等几个方面展开。结构化模型明确了违约事件发生的经济背景，并清晰的定义了违约事件；引入Black-Scholes期权定价理论，极大的简化了定价模型的理论框架，并由此将债权权益人和股权权益人的价值联系在一起。然而，结构化模型基本假设与实际情况不相符，使得模型输出结果与现实情形存在较大差异；企业资产与企业负债等有关财务信息很难及时、准确地获得，导致模型应用上存在一定困难；未考虑到企业债务信用等级的迁移，因而没有将企业债务信用等级迁移的不确定性引入到模型中；Merton模型之后所发展出来的结构化模型，都是通过放松或改变其基本假设实现的，但同时也加大了模型估计与校正的困难。由此可见，在明确给出违约原因的前提下，克服其输出结果与实证结果不相符的缺点，是信用风险度量模型未来的发展趋势。

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## A Study on Dongguan's Construction of Support Platform for Crowd Entrepreneurship and Innovation

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**Keywords:** Dongguan; Platform for crowd entrepreneurship and innovation; Study.

**Abstract.** In order to promote Dongguan's construction of support platform for crowd entrepreneurship and innovation, help to push forward the industrial transformation and upgrading in Dongguan, create a favorable environment for the development of crowd innovation, crowd sourcing, crowd support and crowd funding, improve resource allocation efficiency, build new engines and expand the new economy, this paper has on the basis of in-depth research on Dongguan Science and Technology Bureau, Dongguan Computer Information Center, Dongguan Statistics Bureau and relevant support platforms for crowd entrepreneurship and innovation, introduced the basic situation of support platform for crowd entrepreneurship and innovation in Dongguan, conducted comprehensive analysis of problems in Dongguan's support platforms for entrepreneurship and innovation from aspects of support platform distribution, financing channels, incubation modes, maker space, pioneer park professionals and other aspects, and put forward countermeasures and suggestions for promoting construction of support platform for crowd entrepreneurship and innovation.

## 东莞大众创业、万众创新支撑平台建设的研究

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**关键词:**东莞; 创新创业支撑平台; 建设研究

**中文摘要.** 促进东莞市“大众创业、万众创新”支撑平台建设, 有利于推进我市产业转型升级的进程, 营造四众发展的良好环境, 提高资源配置效率, 打造新引擎, 壮大新经济。本文通过对市科技局、市计算机信息中心、市统计局及相关创新创业支撑平台深入调查的基础上, 介绍了我市“大众创业、万众创新”支撑平台的基本情况, 从创新创业支撑平台分布发展、融资渠道、孵化模式、众创空间、创业园、专业人才等方面全方位分析我市创新创业支撑平

台发展中存在的问题，提出推动创新创业支撑平台建设的对策建议。

## **1. 东莞大众创业、万众创新支撑平台发展状况**

### **1.1 高新技术企业稳步发展**

近年来，东莞高新技术产业发展迅速，已经成为东莞经济增长的重要引擎，也是东莞保有和提升国际竞争力重要支撑。2015 年，东莞国家级高新技术企业数 951 个，工业总产值 2719.73 亿元，出口总额 124.35 亿元，科技活动人员 64010 人，参加科技项目人员 59924 人，分别比上年增长 25.96%、17.03%、12.43%、7.67%、10.19%。数据还显示，2015 年，东莞的先进、高技术制造业占规模以上工业比重分别达 47.9%和 37.2%，较 2010 年大幅提升，而优势传统制造业占比却从 22.9%降至 18.8%。东莞高新技术产业每年创造的利税总体呈上升趋势，2015 年高新技术产品实现利税 255.68 亿元，2000 年至 2015 年的年平均增幅为 16.96%，高新技术产业对国民经济的贡献比较明显。

### **1.2 高水平研发机构不断涌现**

为推动东莞市产业转型升级，东莞市政府及松山湖管委会与国内著名高等院校、科研院所合作，在松山湖创建了 18 家公共科技创新平台，作为推动东莞科技创新，带动产业转型升级的重要载体。各公共科技创新平台自创建以来，通过产学研、科技特派员、技术支持等方式，在产品研发、设计、检测等领域，积极与企业开展多形式、多层面的合作，特别是行业共性技术、关键核心技术、新兴产业技术的研发与应用推广方面取得较好的效果，为东莞市科技企业带来了明显的经济效益。这些高水平研发机构主要包括中国科学院云计算中心自动化所东莞研究院、（中科院）东莞中子科学中心、北京大学东莞光电研究院、东莞电子科技大学电子信息工程研究院、东莞上海大学纳米技术研究院、东莞中山大学研究院、东莞暨南大学研究院和东莞华中科技大学制造工程研究院等。

### **1.3 科技园、产业园遍地开花**

目前，东莞有上规模的产业园 70 多家，科技园 280 多家，分布在东莞 32 个街、镇、园区。科技产业园自产生和发展以来，制度不断完善，功能不断健全，集开放功能、改革功能、社区功能、孵化功能、集聚功能、扩散功能以及示范功能于一体，承载着加速成果转化、实现自主创新的重要使命，已经位居国家经济发展战略的重要地位。科技产业园的蓬勃发展在很大程度上解决了科技成果转化难题，促进了区域经济的迅猛发展。如东莞市跨境贸易电子商务东莞邮政（虎门）产业园集平台、货源、销售、仓储、物流为一体的生态链式的跨境电商园区集群。产业园将引进电子商务第三方运营商和相关机构，为入驻客户提供法律顾问、信贷、外汇支付、翻译、跨境电商代运营等一站式服务。

### **1.4 工程技术研究开发中心绩效持续上升**

2015 年东莞有省级 126 家工程中心，其中：企业类 114 家，公益类 12 家。公益类省级工程技术研究开发中心分别是：东莞理工学院 7 家，东莞电子科技大学电子信息工程研究院 2 家、东莞市林业科学研究所 1 家、东莞同济大学研究院 1 家、东莞中国科学院云计算产业技术创新与育成中心 1 家。126 家省级工程中心的依托单位共 118 家，113 家依托单位为企业，另外 5 家依托单位为非企业科研机构或高校。除了桥头、樟木头、沙田 3 个镇街没有省级工程中心外，其他镇街均有省级工程中心。拥有量较多的镇街前 5 名分别是松山湖 12 家（不含公益类的 11 家）、长安 12 家、麻涌 9 家、东城 7 家、南城和塘厦分别 6 家。2015 年长安新增认定 5 家、松山湖和塘厦分别新增 4 家；南城、清溪、大朗分别新增 1 家。工程技术研究开发中心数量不断增加，绩效持续上升。



## 1.5 技术创新专业镇基本覆盖镇街

东莞市已获得广东省认定的专业镇达到 34 个,占全市建制镇的 94%。涵盖了模具、电子、家具、服装、毛织等产业,不少专业镇在国内外都具有一定影响力。虎门、大朗、常平、清溪分别获得双专业镇认定上,仅南城街道、洪梅镇两个镇街还没有获得专业镇认定,基本实现专业镇全覆盖。各专业镇 GDP 均超过 50 亿元,特色产业高度集聚,特色产业产值超百亿的专业镇有 18 个,占 52.9%,其中长安电子五金特色产业总产值达 1108.1 亿元;石碣电子元器件、清溪光电通信、寮步光电数码、塘厦电子电源 4 个专业镇特色产业均超 300 亿元;另外还有信息传输线缆、现代信息服务、电子信息设备制造等 10 个超 100 亿元的特色产业集群。

## 1.6 孵化链条逐步形成

截至 2015 年底,东莞共有科技企业孵化器 36 家,已认定为国家级科技企业孵化器的有 8 家,省级孵化器有 4 家,市级科技企业孵化器有 24 家。其中民营孵化器 28 家,数量占比 77%。孵化器使用总面积约 1123840 平方米,孵化器总收入 68151.4 万元,R&D 投入 50170.4 万元;在孵企业约 1088 家,累计毕业企业 340 家,留学生创办企业数 47 个;在孵企业从业人员 16167 人,大专以上学历 12236 人,留学人员 217 人;在孵企业获知识产权中,申请知识产权保护数 1349 项,累计软件著作权数 2000 多项,批准知识产权保护数 5000 多项,发明专利数 2000 多个。形成了一定的规模效应、集群效应和带动效应,创新驱动发展能力不断增强。东莞四条路径打造莞式科技企业孵化器。

## 2. 东莞大众创业、万众创新支撑平台建设面临的问题分析

东莞创新创业支撑平台特别是高技术企业孵化方面仍处于发展初级阶段,同北京、深圳、广州等先进城市相比,东莞存在着支撑平台机构服务同质化、专业服务能力不强、创新创业氛围不足、专业服务人才稀缺等问题。

### 2.1 创新创业支撑平台分布发展不均衡

以孵化器为例。东莞市科技企业孵化器主要集中在松山湖高新区,共有孵化器 17 个,其中国家级 4 个、市级 13 个;其次南城街道集中 6 个,其中天安数码城、高盛、新基地 3 个为国家级,其他 3 个为市级;莞城街道 4 个(市级),虎门镇 2 个(省级),常平镇 1 个(国家级,并获得国家科技企业孵化器优秀 A 类评级,全省共只有四个,东莞唯一一个);另外大朗镇、石龙镇、东城街道、清溪、樟木头、大岭山各 1 个。而有的镇区科技企业孵化器为 0。而对于创业园区,科技研发区,众创空间同样存在区域分布不均衡的问题。

### 2.2 创新创业支撑平台融资渠道单一

在投融资服务渠道与模式上,目前主要有利用政府资金、银行资金、风险投资和各载体自有资金等,当然具体形式上有所差异。但是由于受到自身权力和国家政策的限制,创新创业支撑平台的融资能力和手段十分有限,根本无法满足初创企业的融资需求。从银行的角度为创新创业支撑平台提供融资也存在现实性困难:一是由于直接融资渠道不畅,多元化融资平台还未全面向创新创业支撑平台开放;二是风险补偿机制不健全,创新创业支撑平台贷款经营成本较高,风险大,由银行独自承担,加重银行谨慎放贷;三是不良贷款的税前核销政策比较严格,加之严格的经营问责和绩效考核,面对投资者和监管机构的评价压力,银行开展创新创业支撑平台金融服务的积极性受到影响。

### 2.3 孵化模式单一且产出较低

东莞市对孵化支撑平台的经费投入力度非常大。从 2015 年起,设立孵化支撑平台建设补助资金,对市级孵化器按照建设投资总额的 25% 给予最高 1000 万元的资助;对国家级孵

化器和孵化器培育单位分别给予经营管理机构 300 万元和 100 万元的一次性奖励，但是，孵化载体的建设效益还没有凸显，投入和产出远低于广州、深圳和佛山。比如，在科技孵化器数量上，东莞相当于广州的 41%，深圳的 46%；在总孵化面积上，东莞相当于广州的 19%，深圳的 0.49%，佛山的 33%；在累计毕业企业数量上，相当于广州的 12%，深圳的 12%，佛山的 50%。在东莞个别孵化载体中，一些孵化器仅提供房屋租赁等低水平服务，可以提供直接参与创新过程、创新资源配置等服务的机构较少，孵化器成为空穴器，因此出现孵化器人员四处招收创业者的局面。

## 2.4 众创空间创收难、风险大

部分众创空间的盈利模式是通过为创业团队提供场所、融资、注册等服务拥有创业团队的股权（一般为 2%-10%），或直接投资占股。部分众创空间以咖啡馆的形式为创业人员提供办公场所。所入驻的创业团队基本上都处于草创期，仍需要大量资金投入。尚未在股权交易市场中变现前，众创空间无现金流回报，加上创业团队能够发展到在股权交易市场上市的时间较长（一般需要 3 至 5 年）、成功比例较低，造成众创空间存在创收难、风险大的问题。

## 2.5 创业园资源整合不到位

许多创业园是利用当地原有的场地、设备设施，以挂牌、共建的方式建立的，存在着有“名”无“实”的情况，在运营过程中，政府的主导作用明显不足；各职能部门以及创业者协会、中小企业协会等社会力量，缺乏行之有效的手段和具体举措来介入创业园、孵化基地建设、管理、运行。部分地区创业园规模过小，入驻企业只有几家，且创业项目单一，科技含量小，缺乏创新和市场竞争力，没有显现出其应有的示范带动作用，社会认可度差。创业园服务人员流失严重，专业管理和运营人才欠缺。创业园运营人员没有专业的对口输出，且要服务创业企业，必须对垂直行业都有所涉猎，对人员素质要求很高，但是这样的人才非常少且流失严重。

## 2.6 创新创业专业人才缺乏

创新创业支撑平台所需的研发人员、导师团队等人才对科技企业的发展是非常重要的，可是由于以下三个方面的原因使得东莞创新创业支撑平台专业人才十分缺乏。其一，东莞地处广深两大城市之间，在接受他们辐射的同时也受到其挤压，很多人才会选择广深而不是东莞；其二，东莞高校缺乏，研究型企业机构不多，所以高端人才没有科技合作的平台和氛围，只能向广州深圳转移；其三，东莞是一个制造业基地绝大部分企业都是劳动密集型企业，科技企业孵化氛围很欠缺，难以吸引高级人才来莞工作和居住。

# 3. 推动创新创业支撑平台建设的对策

## 3.1 建设产业基地，构建创新创业生态体系

整个科技孵化链条包括企业的初创、成长和成熟，覆盖着整个企业生命周期的各个环节，不同环节有着不同特征及不同的企业发展困境，因此，根据专业化原则，有必要按照企业生命周期链条，针对不同环节设置不同的孵化器，形成“苗圃—孵化器—加速器”之间既有分工又有协同发展的格局。根据这一思路，我市应该明确各个孵化器的角色定位及相互之间的链条关系，惟其如此才能发挥孵化器的聚集效应和协同效应。同时，要结合东莞的比较优势，使得自身的各类孵化器具有自己的特色，形成自己基于比较优势的竞争特色。

## 3.2 发挥市场主体作用，建设多元化的孵化模式

目前，东莞市合资、共建、租赁、委托管理等多种形式和体制运营的孵化器并存，运作模式大都以场地租金加服务费等为主，政府资金无偿资助扶持为辅。这种经营运作模式在当

初发挥了很好的推动作用，然而，随着经济社会的发展，它已经难以继续产生支撑科技孵化器持续发展的永续动力，也远远不能适应孵化器发展的需要和满足今天创新的需求，因此为了发挥市场主体作用和决定性作用，建设多元化的孵化模式成为东莞市有益的选择。首先，让政府扶持资金成为创新投资风险的主要承担者。改革政府扶持资金的支持方式，将过去无偿资助变为有偿使用。其次，大力发展“创投+孵化”为主的孵化运营模式。我们应该利用好所提供的东莞市投资引导资金，用其创立专门的孵化基金。还有，利用好互联网技术，探索新型孵化服务模式，采用“线上+线下”方式，弱化对孵化空间和场地的依存度，注重资本、人脉、媒体、导师等创新服务要素集聚，强化市场化配制资源，营造新颖的创新创业文化氛围。

### **3.3 依托建设高水平研发机构，推动企业研发机构和新型研发机构建设**

推动企业建设企业工程中心和重点实验室等研发机构，特别是以大型骨干企业和新型研发机构为主要依托建设高水平研发机构。大力推动外资企业建立研发机构。组织实施重大科技专项等科技项目及专利促进项目，积极对接省应用型科技研发与成果转化专项和省重大科技专项等，推动产出一批高质量的科研成果。大力推动市内研发能力突出的龙头企业组建新型研发机构，发展成为高水平的孵化器，促进重大科技成果产业化。依托相关新型研发机构，积极推动军工和民用科技资源互动共享，推进军民两用技术研发及相关成果产业化，创建军民融合创新发展示范区。加快散裂中子源项目建设，发挥辐射带动作用，培育发展新兴产业和高新技术产业。

### **3.4 深入实施高新技术“育苗造林”行动计划，培育发展高新技术企业**

积极发挥东莞毗邻广深的地缘优势和产业配套优势，招商引资的主体面向高新技术企业倾斜，增加“三重”项目的招引中相关科技评判指标，引进一批在行业内具有领先带动作用的高新技术企业。采取针对行业产业、企业发展阶段的培育计划，实施重点指导与帮扶，着力将大量成长性强的后备企业培育成高新技术企业，推动一批规模较大、实力较强的内外资企业发展成为高新技术企业，进一步提高东莞高新技术产业产值占比。引导新型研发机构、科技企业孵化器，与东莞产业发展、市场需求对接，与镇街产业升级相结合，强化载体服务功能，推动科技成果转化，孵化成长一批高新技术企业。

### **3.5 引导企业加大研发投入，创设投资环境**

全面推进实施企业研发准备金制度和“创新券”政策，对企业研发投入和购买技术服务予以补助补贴，推动企业持续加大研发投入。从科学技术型企业融资的生命周期可以了解到，不同时期科技企业的融资方式均是有所差异，为了使科学技术企业更快更好的发展，企业从初创期（企业内部筹集资金）、成长期（通过风投筹集资金）、扩张期（通过信用融资筹集资金）到成熟期（通过企业上市筹集资金），每一个时期要采用不一样的融资方式。主要体现在科学技术型企业在不一样的发展时期对于融资有着不一样的要求，所采用的方法不尽相同。因此，能够依照科学技术型企业孵化器跟随生命周期的改变，要采用的融资手段的改变，提供不一样的服务，以此来使各个时期科学技术型中小型企业发展的融资需求得到满足。

### **3.6 办好各类“创客”创新创业竞赛，推进创新创业人才培养创新模式**

众创空间在创客的挑选以及融资服务时需要组织路演、竞赛等活动，需要投入大量的人力、物力。建议以政府采购的形式，向众创空间购买组织路演、竞赛活动的服务，各众创空间通过招投标形成良性竞争。通过政府采购路演、竞赛活动，一方面可鼓励众创空间提升自己软实力，另一方面能够以创新模式培养创新创业人才，并切实减轻众创空间的经济负担。

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